



## NOTICE/AGENDA

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### COUNCIL MEETING NOTICE/AGENDA

POSTED AT: [www.scdd.ca.gov](http://www.scdd.ca.gov)

**DATE:** January 18, 2018

**TIME:** 10:00 AM – 5:00 PM

**MEETING LOCATION:**

Crowne Plaza Sacramento Northeast  
5321 Date Avenue  
Sacramento, CA 95841

**COUNCIL CHAIR:**

April Lopez

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**Item 1. CALL TO ORDER**

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**Item 2. ESTABLISH QUORUM**

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**Item 3. WELCOME AND INTRODUCTIONS**

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**Item 4. PUBLIC COMMENTS**

*This item is for members of the public only to provide comments and/or present information to the Committee on matters not on the agenda. Each person will be afforded up to two minutes to speak. Written requests, if any, will be considered first.*

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Item 6.      **CHAIR REPORT**

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Item 7.      **CLOSED SESSION – PENDING LITIGATION**

*Pursuant to Government Code 11126 (e)(1), the Council will have a closed session to consider pending litigation. (Lopez v. Carruthers; State Council on Developmental Disabilities)*

*Presented by: Plank*

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Item 8.      **RECONVENE OPEN SESSION**

*Pursuant to Government Code Section 11126.3 (f), there will be an announcement of any reportable action(s) taken during closed session*

*Presented by: Plank*

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Item 9.      **CLOSED SESSION – PERSONNEL**

*Pursuant to Government Code 11126 (a)(1), the Council will have a closed session to consider the evaluation of performance of a public employee*

*Presented by: Yang/Plank*

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Item 10.     **RECONVENE OPEN SESSION**

*Pursuant to Government Code Section 11126.3 (f), there will be an announcement of any reportable action(s) taken during closed session*

*Presented by: Yang/Plank*

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Item 11.     **EXECUTIVE DIRECTOR REPORT**

A. 2018 Federal Programs and Landscape

**STAFF REPORTS**

A. Chief Deputy Director Report

B. Deputy Director of Policy Report

C. Deputy Director Regional Office Operations Report

D. CRA/VAS Update Report

E. Developmental Center Closure Update



F. QA Project Update Report

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Item 12.     **2018 – 19 GOVERNOR’S PROPOSED BUDGET**

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<b>Item 13.</b>	<b>2017 PROGRAM PERFORMANCE REPORT</b>	Page 39
<b>Item 14.</b>	<b>CYCLE 41 GRANT PROCESS</b>	Page 81
<b>Item 15.</b>	<b>CONFLICT OF INTEREST WAIVER REQUESTS </b> <i>Presented by: Natalie Bocanegra</i> <ul style="list-style-type: none"><li>A. Far Northern Regional Center – Suzette Serrano</li><li>B. Westside Regional Center – Elizabeth Espinosa</li><li>C. Westside Regional Center – Zoe Giesberg</li><li>D. Westside Regional Center – Betty Pearson Grimble</li></ul>	Page 125
<b>Item 16.</b>	<b>SPONSORSHIP REQUESTS </b> <i>Presented by: Gabriel Rogin</i> <ul style="list-style-type: none"><li>A. Care Parent Network</li><li>B. Family Voices of California</li></ul>	Page 189
<b>Item 17.</b>	<b>SECRETARY’S TASK FORCE REPORT</b>	
<b>Item 18.</b>	<b>STATEWIDE SELF-ADVOCACY NETWORK</b>	Page 209
<b>Item 19.</b>	<b>COMMITTEE REPORTS</b> <ul style="list-style-type: none"><li>A. Executive Committee</li><li>B. Membership Committee</li><li>C. State Plan Committee</li><li>D. Self-Advocates Advisory Committee</li><li>E. Administrative Committee<ul style="list-style-type: none"><li>1. Travel Policy</li></ul></li><li>F. State Self-Determination Advisory Committee</li></ul>	Page 215
<b>Item 20.</b>	<b>NEXT MEETING DATE &amp; ADJOURNMENT</b>	

**Accessibility:**

Pursuant to Government Code Sections 11123.1 and 11125(f), individuals with disabilities who require accessible alternative formats of the agenda and related meeting materials and/or auxiliary aids/services to participate in this meeting should contact (916) 322-8481. Requests must be received by 5 business days prior to the meeting.

**Materials:**

Meeting documents and presentations for an agenda item must be submitted to SCDD no later than 2 business days prior to the meeting.



**APPROVAL  
OF  
NOVEMBER 2017  
MINUTES**

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## DRAFT

### Council Meeting Minutes November 30, 2017

#### Members Present

Andrea Vergne (FA)  
April Lopez (FA)  
Carmela Garnica (FA)  
Catherine Blakemore  
Charles Nutt (SA)  
David Forderer (SA)  
Elena Gomez  
Francis Lau (FA)  
Janelle Lewis (FA)  
Jeana Eriksen (SA)  
John Doyle  
Johnathan Lee  
Julie Austin (FA)  
Kecia Weller (SA)  
Kilolo Brodie (FA)  
Kris Kent  
Larry Yin  
Maria Marquez (SA)  
Michele Villados  
Ning Yang (SA)  
Olivia Raynor  
Rebecca Donabed (SA)  
Robert Taylor (SA)  
Robin Hansen  
Sandra Aldana (SA)  
Sandra Smith (FA)  
Shari Presnall

#### Members Absent

Alfredo Rubalcava (FA)  
Pedro Sanchez (FA)

#### Others Attending

Aaron Carruthers  
Adam Cook  
Amber Garcia  
Angela Lewis  
Barbara Montaldo  
Carlyn Meshack  
Chris Snyder  
Cindy Smith  
David Neill (DOJ)  
Dena Hernandez  
Ellen Sweigert  
Elizabeth White  
Gabriel Rogin  
Holly Bins  
Janet Butts  
Janna Zucker  
Jennifer Carpentier  
Julie Parrish  
Kala Murphy  
Karen Mulvany

#### Others Attending (continued)

Lisa Plank (DOJ)  
Lisa Cooley  
Lisa Hooks  
Logan Carpentier  
Maika O'Brien  
Margi Stern  
Maria Carmen Dorigatti  
Mary Ellen Stives  
Matt Carpentier  
Natalie Bocanegra  
Nicole Neff  
Riana Hardin  
Rihana Ahmad  
Robin Maitino  
Sarah May  
Sarah Wasiak  
Sheraden Nicholau  
Sherryl L. Bradley  
Sidney Jackson (ARCA)  
Sonya Bingaman  
Tamica Fouts-Rachal  
Theresa Ladao  
Vicki Smith  
Wayne Glusker  
Yolanda Cruz

#### 1. **CALL TO ORDER**

Chairperson April Lopez (FA) called the meeting to order at 10:09 a.m.

#### 2. **ESTABLISHMENT OF QUORUM**

Chair Lopez (FA) established a quorum.

3. **WELCOME AND INTRODUCTIONS**

Councilmembers and others in attendance introduced themselves.

4. **APPROVAL OF SEPTEMBER MEETING MINUTES**

Corrections to voting log were made: Council members Aldana (SA) and Hansen noted they were not present for both Closed Session votes, and Council member Weller (SA) noted she was not present for the second closed session vote.

**Action 1**

It was moved/seconded and carried to approve the September 19, 2017 Council meeting minutes with corrections to voting log. (See page 16 for the voting record of members present)

5. **PUBLIC COMMENTS**

Several members of the public shared their thoughts and concerns regarding agenda item 11. Information brought to the attention of Council Members included:

- Support for North Bay Regional Office
- Concern for loss of employment by those servicing the North Bay Regional Office
- Concerns regarding requests made to participate in this meeting remotely, it was also brought to the Council's attention that a digit was missing from the phone number on the agenda for people to request accommodations
- Questions about the amount of the Structural Deficit

6. **CHAIR REPORT**

Chair Lopez (FA) explained why she cancelled the November Executive committee meeting. She shared details of the Self-Determination trainings happening around the state, and her personal experience attending the training in San Gabriel. There will be a DDS Self-Determination Program Workgroup meeting next week. Chair Lopez spoke about how impressed she is with the collaboration of Regional Centers and DDS with the State Council.

Chair Lopez (FA) mentioned CalABLE is moving forward, and how 24 states have their own ABLE account and soon California will as well. CalABLE should launch at the beginning of next year.

SCDD had four meetings with DRC and Disability Voices on Medi-Cal funding.

7. **CLOSED SESSION – PENDING LITIGATION**

Council members entered into closed session.

8. **RECONVENE OPEN SESSION**

No reportable actions were taken.

9. **CLOSED SESSION – PERSONNEL**

Council members entered into closed session.

10. **RECONVENE OPEN SESSION**

**Closed Session Action 1**

It was moved/seconded (Blakemore/Kent) and carried that the Executive Committee proceed in completing the actions taken at the last Council meeting regarding the ED evaluation, with Chair Lopez (FA) recusing herself from the remainder of the evaluation process.

**Closed Session Action 2**

It was moved/seconded (Blakemore/Garnica(FA)) and carried for Council to obtain an opinion from the Attorney General Office regarding any potential Conflict of Interest that exists because of litigation brought by Chair April Lopez (FA) against the Council or the Council Executive Director.

11. **STRUCTURAL DEFICIT RECOMMENDATIONS**

Executive Director Aaron Carruthers and Chief Deputy Director Gabriel Rogin provided an in-depth overview of the Structural Deficit Recommendations.

Director Carruthers explained that the reasons for the structural deficit are largely outside of the department's control. Operating costs for personnel and lease/rent continue to increase. As a federally funded agency, SCDD does not receive increases in its grant when costs change due to State approved raises.

In March and May, Council was presented with a draft budget that acknowledged a structural deficit. The decision of the body was to use prior year unexpended funds to get us through the next year, and to begin looking at options for reducing costs. There are prior year unexpended funds because SCDD has had a historically large vacancy rate. The Department of Finance has informed SCDD that the vacancy rate must be reduced to under 10%. This reduction will be accomplished by a combination of filling positions and abolishing vacant positions that will not be filled.

On September 12, 2017 the Structural Deficit Workgroup met and suggested 8 recommendations for the Administrative Committee to review. These recommendations were discussed by the Administrative Committee on October 27,

2017. The Administrative Committee recommended that the Council approve items 2 -8, which are listed below.

2. Co-locate the Sacramento office with Headquarters, including a shared Office Technician (front office staff).
3. Share Office Technicians between offices (roughly one Office Technician for every two offices) and upgrade Office Technicians to Program Techs, as allowable.
4. Keep two Office Technician positions at Headquarters vacant.
5. Downsize San Diego regional office.
6. Downsize San Bernardino regional office.
7. Require use of "Wanna Get Away" fares, whenever possible, for Council member and staff travel.
8. Provide the Council and committee members with iPads instead of paper packets.

The Structural Deficit Workgroup's first recommendation, to consolidate the North Bay and North Coast regions and close the North Bay office was discussed, but no motion was made regarding the recommendation. The Council requested that this option be retained while exploring other cost saving ideas.

## **Action 2**

It was moved/seconded (Nutt[SA]/Kent) and carried for Council to approve structural deficit workgroup recommendations 2 – 8. (See page 16 for the voting record of members present)

## **12. 2018 POLICY PLATFORM & LEGISLATIVE PRIORITIES**

Council member Janelle Lewis (FA) and Deputy Director of Policy Cindy Smith presented the 2018 Policy Platform and Legislative Priorities. The Legislative and Public Policy Committee met November 6, 2017 and focused on two major tasks: establishing recommendations for updating the council policy platform, and establishing recommendations for council legislative priorities for the upcoming 2018 legislative session.

Recommended changes for the 2018 platform were presented in a PowerPoint and handout, both of which are accessible on the SCDD website.

### **Action 3**

It was moved/seconded (Nutt[SA]/Smith[FA]) and carried for Council to approve the recommended changes to the platform. (See page 16 for the voting record of members present)

Next, Council Member Lewis (FA) presented recommendations for 2018 legislative priorities. Input was previously collected from RAC members, staff, Council Members, LPPC members, and SSAN members. The following recommended priorities were presented:

- Ensure current federal policy protections are made state policy
- Self-Determination – Define the Person Centered Plan
- Employment and Transition – Create a common identifier across agencies to better track services and supports
- Health and Safety – Ensure waivers can be issued quickly for health and safety reasons
- Health and Safety – Ensure timely access to mobile crisis units
- Health and Safety – Create a volunteer registry with the DMV by linking vehicle license plates to identification as a person with a disability
- Housing – Ensure junior Accessory Dwelling Units qualify for Supported Living Services
- Community Supports – Reinstate funding for social recreation and camp

### **Action 4**

It was moved/seconded (Smith[FA]/Nutt[SA]) and carried for Council to approve the proposed priorities for potential sponsored legislation in 2018. (See page 16 for the voting record of members present)

## **13. CONFLICT OF INTEREST WAIVER REQUESTS**

Staff Counsel Natalie Bocanegra presented the following COI waiver requests to the Council for review and consideration:

### **Central Valley Regional Center (CVRC) – Board Member Lucia Arreguin**

Ms. Arreguin is a consumer member of the CVRC Board and serves as Treasurer, an officer position of the board. She works for the Central Valley Training Center, a CVRC provider as part of her regional center employment services.

### **Action 5**

It was moved/seconded (Nutt [SA]/Forderer [SA]) and carried to approve Ms. Arrequin's waiver request provided she does not participate in any board decision that impact her employer and she also complies with Section 4622(k). (See page 16 for the voting record of members present)

### **Central Valley Regional Center (CVRC) – Board Member Christine Soares**

Ms. Soares is a member of the CVRC Board and has a daughter who is served by the regional center and works part time for the UCP Infant Program, a regional center vendor.

### **Action 6**

It was moved/seconded (Forderer [SA]/Nutt [SA]) and carried to approve Ms. Soares' waiver request provided she does not participate in any board decision that impact her daughter's employer. (See page 16 for the voting record of members present)

### **North Los Angeles County Regional Center (NLACRC) – Board Member Lillian Martinez**

Ms. Martinez is a new member of the NLACRC Board and has a son who is a NLACRC consumer. Her daughter is a respite worker for Libertana, a NLACRC vendor, and provides services to Ms. Martinez's son.

### **Action 7**

It was moved/seconded (Forderer [SA]/Nutt [SA]) and carried to approve Ms. Martinez's waiver request, since the proposed plan otherwise mitigates the opportunity for a resulting conflict of interest. (See page 16 for the voting record of members present)

### **Redwood Coast Regional Center (RCRC) – Board Member Steven Perez**

Mr. Perez is a member of the RCRC Board; his spouse provides child care services for their granddaughter who is a regional center client. Mr. Perez's spouse is employed by Coastline Enterprises, a RCRC vendor.

### **Action 8**

It was moved/seconded (Forderer [SA]/Nutt [SA]) and carried to approve Mr. Perez's waiver request, provided he does not participate in any decision that impacts his spouse's employer, since the proposed plan otherwise mitigates the opportunity for a resulting conflict of interest. (See page 17 for the voting record of members present)



*San Diego Regional Center (SDRC) – Board Member Laura Oakes*

Ms. Oakes is a member of the SDRC Board and has a sister who is employed by regional center vendors: Noah Homes, Step into Success, and the YMCA. Another sister of Ms. Oakes is also employed by YMCA to provide respite services. Neither sister is a member of management or has organizational decision making or policy making authority in any of these positions.

**Action 9**

It was moved/seconded (Nutt [SA]/Smith[FA]) and carried to approve Ms. Oakes' waiver request, since the proposed plan otherwise mitigates the opportunity for a resulting conflict of interest. (See page 17 for the voting record of members present)

*Tri-Counties Regional Center (TCRC) – Board Member Thomas Kline*

Mr. Kline is a member of the TCRC Board and a TCRC consumer. He is employed by Pathpoint, a TCRC vendor, as part of his employment services received through the regional center.

**Action 10**

It was moved/seconded (Nutt [SA]/Forderer[SA]) and carried to approve Mr. Kline's waiver request, provided he does not participate in any decision that impacts his employer and also complies with the requirements of W&I Code Section 4622(k), since the proposed plan otherwise mitigates the opportunity for a resulting conflict of interest. (See page 17 for the voting record of members present)

**14. SPONSORSHIP REQUEST**

*Alameda County Developmental Disabilities Planning and Advisory*

The Alameda County Developmental Disabilities Planning and Advisory requested a sponsorship in the amount of \$999.99 for their 7<sup>th</sup> Annual 2017 Conference on Post-Secondary Educational Opportunities for Students with a Disability. The Conference is to be held December 2, 2017 at the Ed Roberts Campus in Berkeley. SCDD funds would be used to offset costs of translation and interpretation services needed to include the diverse range of languages used in the Bay Area, including ASL services.

### **Action 11**

It was moved/seconded (Forderer [SA]/ Nutt [SA]) and carried to award sponsorship funding in the amount of \$999.99 to the Alameda County Developmental Disabilities Planning and Advisory in order to offset translation and interpretation costs. (See page 17 for the voting record of members present)

### **Developmental Disabilities Provider Network**

The Developmental Disabilities Provider Network requested a sponsorship in the amount of \$999.99 for their 4<sup>th</sup> Annual Leading the Charge: Collaborating for Effective Services one-day educational event. The event was held on November 29, 2017 in San Diego. SCDD funds would be used to offset costs associated with supplies, cost of programs and printing.

### **Action 12**

It was moved/seconded (Forderer [SA]/ Eriksen [SA]) and carried to award sponsorship funding in the amount of \$999.99 to the Developmental Disabilities Provider Network in order to offset overall programming and marketing costs. (See page 17 for the voting record of members present)

### **Disability Voices United**

Disability Voices United has requested a sponsorship in the amount of \$999.99 for their Medi-Cal Town Halls that were held in October and November 2017. SCDD funds would be used to offset costs associated with translation, interpretation and facility fees.

### **Action 13**

It was moved/seconded (Nutt [SA]/ Forderer [SA]) and carried to award sponsorship funding in the amount of \$999.99 to the Disability Voices United in order to offset translation and interpretation costs in addition to facility fees. (See page 17 for the voting record of members present)

### **Special Parents Information Network (SPIN)**

The Special Parents Information Network (SPIN) has requested a sponsorship in the amount of \$999.99 for their Special Needs Conference for Spanish speaking parents being held in Watsonville on January 27, 2018. SCDD funds would be used to offset costs associated with childcare.

#### **Action 14**

It was moved/seconded (Nutt [SA]/Vergne[FA]) and carried to award sponsorship funding in the amount of \$999.99 to the Special Parents Information Network in order to offset overall childcare costs. (See page 17 for the voting record of members present)

#### **15. COMMITTEE REPORTS**

Meeting attendees were directed to the packet and handouts for committee reports.

#### **16. 2018 MEETING DATES**

January 18, 2018

March 20, 2018

May 15, 2018

July 24, 2018

September 18, 2018

November 29, 2018

#### **17. ADJOURNMENT**

The next meeting is on January 18, 2018 at the Crowne Plaza Hotel in Sacramento. The meeting was adjourned at 4:50 p.m.

Name	Action 1	Action 2	Action 3	Action 4	Action 5	Action 6	Action 7
Aldana, Sandra	For	For	Not Present	For	For	For	For
Austin, Julie	Abstain	For	For	For	For	For	For
Blakemore, Catherine	Abstain	Not Present	Not Present	Not Present	Not Present	Not Present	Not Present
Brodie, Kilolo	For	For	For	For	For	For	For
Donabed, Rebecca	For	Abstain	For	For	For	For	For
Doyle, John	Abstain	Not Present	Not Present	Not Present	Not Present	Not Present	Not Present
Eriksen, Jeana	For	For	For	For	For	For	For
Forderer, David	For	Abstain	For	For	For	For	For
Garnica, Carmela	Abstain	Oppose	For	For	For	For	For
Gomez, Elena	For	Not Present	Not Present	Not Present	Not Present	Not Present	Not Present
Hansen, Robin	For	For	Not Present	Not Present	Not Present	Not Present	Not Present
Kent, Kris	For	For	Abstain	Not Present	Not Present	Not Present	Not Present
Lau, Francis	For	For	For	For	For	For	For
Lee, Johnathan	Abstain	For	For	Abstain	Abstain	Abstain	Abstain
Lewis, Janelle	For	For	For	For	For	For	For
Lopez, April	For	For	For	For	For	For	For
Marquez, Maria	Abstain	For	For	For	For	For	For
Nutt, Charles	For	For	For	For	For	For	For
Presnall, Shari	Abstain	For	For	Abstain	For	For	For
Raynor, Olivia	For	For	For	For	For	Not Present	Not Present
Smith, Sandra	For	For	For	For	For	For	For
Taylor, Robert	Abstain	For	For	For	For	For	For
Vergne, Andrea	For	For	For	For	For	For	For
Villados, Michele	For	For	Abstain	Abstain	For	Not Present	Not Present
Weller, Kecia	For	Not Present	Not Present	Not Present	Not Present	Not Present	Not Present
Yang, Ning	For	For	For	For	For	For	For
Yin, Larry	For	For	For	For	For	For	For



Name	Action 8	Action 9	Action 10	Action 11	Action 12	Action 13	Action 14
Aldana, Sandra	For	For	For	For	?	For	For
Austin, Julie	For	For	For	For	For	For	For
Blakemore, Catherine	Not Present	Not Present	Not Present	Not Present	Not Present	Not Present	Not Present
Brodie, Kilolo	For	For	For	For	For	For	For
Donabed, Rebecca	For	For	For	For	For	For	For
Doyle, John	Not Present	Not Present	Not Present	Not Present	Not Present	Not Present	Not Present
Eriksen, Jeana	For	For	For	For	For	For	For
Forderer, David	For	For	For	For	For	For	Not Present
Garnica, Carmela	For	For	For	For	For	For	For
Gomez, Elena	Not Present	Not Present	Not Present	Not Present	Not Present	Not Present	Not Present
Hansen, Robin	Not Present	Not Present	Not Present	Not Present	Not Present	Not Present	Not Present
Kent, Kris	Not Present	Not Present	Not Present	Not Present	Not Present	Not Present	Not Present
Lau, Francis	For	For	For	For	For	For	For
Lee, Johnathan	Abstain	Abstain	Abstain	Abstain	Abstain	Abstain	Abstain
Lewis, Janelle	For	For	For	For	For	For	For
Lopez, April	Not Present	Not Present	Not Present	Not Present	Not Present	Not Present	Not Present
Marquez, Maria	For	For	Not Present	Not Present	Abstain	For	For
Nutt, Charles	For	For	For	For	For	For	For
Presnall, Shari	For	For	For	For	For	For	For
Raynor, Olivia	Not Present	Not Present	Not Present	Not Present	Not Present	Not Present	Not Present
Smith, Sandra	For	For	For	For	For	For	For
Taylor, Robert	Oppose	For	For	For	For	For	For
Vergne, Andrea	For	For	Abstain	For	For	For	For
Villados, Michele	Not Present	Not Present	Not Present	Not Present	Not Present	Not Present	Not Present
Weller, Kecia	Not Present	Not Present	Not Present	Not Present	Not Present	Not Present	Not Present
Yang, Ning	For	For	For	For	For	For	For
Yin, Larry	For	For	For	For	For	For	For

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# **STAFF REPORTS**

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## **Chief Deputy Director's Report January 18, 2018**

Manage SCDD internal operations. Maximize efficiency and maintain a high level of performance, in order to advance our advocacy, capacity building and systems change efforts.

### **Policy**

- Participated in a Person-Centered Thinking and Planning Discussion with the Department of Developmental Services.
- Participated in a meeting on Supported Decision Making at the MIND Institute.

### **Administrative**

- Managed on-going structural deficit reduction process.
- Led All HQ Meeting, including updates on key projects.
- Supported the Deputy Director of Regional Office Operations to manage the Cycle 40 and 41 Grant processes.
- Supported the Deputy Director of Policy and Planning with dissemination of information on upcoming regional trainings and activities.
- Continued supervision of the Quality Assurance and Clients' Rights Advocacy/Volunteer Advocacy Services programs.
- Continued to support staff with updating the SCDD website, after migration to a new Content Management System.
- Participated in Regional Managers' meetings and provided updates from Headquarters. Led discussion on sub-leasing.
- Supported SCDD Self-Advocacy Coordinator with management of SAAC and SSAN meetings. Presented to SSAN on budgeting considerations.
- Supported staff with implementation of new document accessibility process.

- Streamlined internal procedures for processing billing, honoraria and travel reimbursements; reassigned staff as necessary.
- Staffed Administrative and Membership Committee meetings and followed through on directives.
- Continued efforts to relocate Headquarters and regional offices, as appropriate.
- Proposed revisions to Interagency Agreement with the Department of Social Services.
- Met with Executive Team to prep for submission of State Leadership and Accountability Act Report.
- Continued on-going QA/BSG coordination meetings.
- Continued to review and revise internal policies and procedures.
- In coordination with the Executive Team, tracked progress on short and long-term organizational goals.

### **Personnel**

- Worked with the Personnel staff on recruitment, screening and interview processes for vacant positions at SCDD Headquarters and regional offices.
- Continued to support new SCDD Travel/Front Desk Coordinator.
- Met with the Deputy Director of Regional Office Operations and individual Regional Managers, as necessary.
- Continued to support SCDD's Disability Advisory Committee.
- In coordination with Executive Team, addressed on-going training and personnel needs.



**Report from Deputy Director, Policy  
November 16 – December 31**

- Participated in multiple calls with Senate office and D.C.-based coalitions regarding the tax bill. Used information to draft numerous alerts sent statewide and emails for Executive Director to send the Council. Drafted press release after passage of the bill in Congress.
- Met with multiple offices in California Legislature to share approved platform and priorities for 2018.
- Represented SCDD on NACDD's Public Policy Committee call in November.
- Met with Disability Rights California to discuss Legislative Priorities for 2018.
- Coordinated with Regional Managers and Chief Deputy Director to produce bi-weekly email of state-wide events and trainings.
- Participated in meetings of State Plan Team.



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**REPORT FROM**  
**Vicki L. Smith**  
**DEPUTY DIRECTOR, REGIONAL OFFICE OPERATIONS**  
**TIME PERIOD: November 01, 2017 to December 31, 2017**

The Deputy Director of Regional Office Operations (DDROO) provides leadership and supervision to the SCDD regional offices and the planning team at Headquarters (which monitors, prepares and reports on the SCDD State Plan).

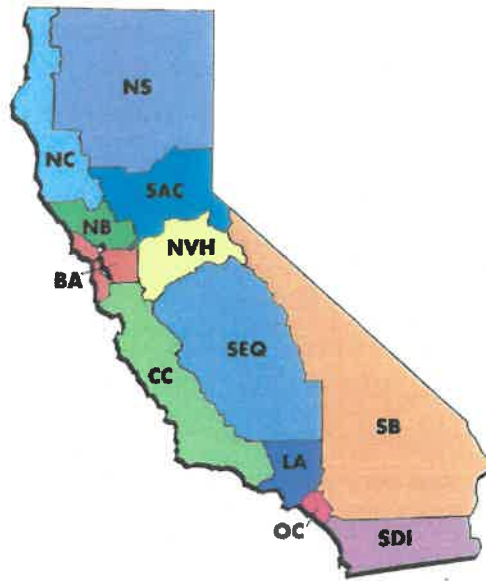
**Regional Operations:**

- Supervise twelve regional offices for operations. Facilitate monthly managers meetings (at minimum, meetings rotate between face-to-face one month and teleconference the next month). Managers have finalized the State Plan Work Plan for the next 3 years and while there are no changes to the Goals or the Objectives, there are slight changes to specific activities and projected numbers reached. The new Work Plan for 17-18, 18-19, and 19-20 will be presented to the State Plan Committee at its next meeting.
- We are currently working with Human Resources to fill the following positions at regional offices: Los Angeles Regional Manager, North Coast Regional Manager, North Bay Community Program Specialist II (BSG), North Valley Hills Community Program Specialist II (BSG), Los Angeles Community Program Specialist II (QA), and San Bernardino Quality Assessment Coordinator (Part-time QA).

**Planning Team:**

- Supervise the development, monitoring, assessment and analysis of the SCDD State Plan. The Planning Team is working on the Program Performance Report (PPR) for the 1<sup>st</sup> year accomplishments of the State Plan. The Administration for Intellectual and Developmental Disabilities has delayed the reporting for October 1, 2016 through September 30, 2017. We continue to gather and analyze all the data so that when the reporting platform becomes available from AIDD we are able to input without delay.

*Respectfully Submitted: Vicki L. Smith, Deputy Director, Regional Office Operations*



**Highlights of State Plan Activities (full version posted at [www.scdd.ca.gov](http://www.scdd.ca.gov))**

**REGIONAL OFFICE AND HEADQUARTER ACTIVITIES FOR:**

<b><u>REGIONAL OFFICE (RO)</u></b>	<b><u>MANAGER</u></b>
North Coast (NCRO)	*Vacant
North State (NSRO)	Sarah May
Sacramento (SACRO)	Sonya Bingaman
North Bay (NBRO)	Lisa Hooks
Bay Area (BARO)	Sheraden Nicholau
North Valley Hills (NVHRO)	Dena Hernandez
Central Coast (CCRO)	David Grady
Sequoia (SEQRO)	Yolanda Cruz
Los Angeles (LARO)	*Vacant
Orange County (OCRO)	Scarlett VonThenen
San Bernardino (SBRO)	Tamica Fouts-Rachal
San Diego/Imperial (SDIRO)	MaryEllen Stives

*Respectfully Submitted: Vicki L. Smith, Deputy Director, Regional Office Operations*

**GOAL #1.1: The Council will increase knowledge about self-determination and person-centered planning by monitoring, supporting and actively engaging in the implementation of the Self-Determination Program.**

- SCDD staff provided a 45 minute training about self-determination (entitled "Autodeterminación: ¿Qué Es? Como Es Diferente de Los Servicios Tradicionales? Será Adecuado Para Mí?") in Spanish on 12/19/17 to parents of children with developmental disabilities. There were 18 attendees and the presentation included, but was not limited to, information about self-determination; the role of the facilitator, financial management service, local self-determination advisory committees, the statewide self-determination advisory committee, and others involved in self-determination; the current status of self-determination; the development of the budget and how to get more bang for your buck; what services may be purchased through self-determination and a discussion of the CMS New Rules; how self-determination differs from traditional services; actions that can be taken now to prepare for self-determination; and how to determine if self-determination may be appropriate for someone. Pre- and post-test results indicated there was significant improvement in the understanding of the subject material by attendees. Lastly, SCDD staff distributed a save the date flyer for a one day conference supported and sponsored by the SCDD Los Angeles Office as well as a flyer for a seminar conducted by SCDD Los Angeles staff and the University of Southern California's University Center for Excellence on Developmental Disabilities (USC UCEDD). (SA=1, FA=16, OTH=1)

**GOAL #1.2: The Council will promote self-advocates in leadership roles in statewide networks a) through the strengthening of a statewide self-advocacy organization and by supporting self-advocates; b) within cross-disability leadership coalitions; and c) in training other self-advocates to become leaders.**

- SCDD staff provided training to 40 participants and 12 staff at the Easter Seals of Southern California Day program on the topic of self-advocacy. The talk was an introduction to self-advocacy and the importance of letting people know what is important to you and your life. Additionally, the training was also aimed at helping the staff at the program think about how they are supporting the participants in their program and are there ways they could do their job differently to encourage more self-advocacy and choice making throughout their daily routine. The audience was primarily comprised of

*Respectfully Submitted: Vicki L. Smith, Deputy Director, Regional Office Operations*

individuals who did not have a formal means of communication and required extensive support. During the training the Easter Seals staff was asked to work with each individual to respond to the questions beginning with sharing your name and moving on to sharing information about a choice that was made that day. Following the training materials were left for the staff to be used as a reflective exercise regarding choice making and the people they support. (SA=40, OTH=12, ORGs=1)

**GOAL #2.1: The Council will increase and promote culturally competent strategies and resources that facilitate competitive, integrated employment (CIE) of people with I/DD.**

- **Establish regional cross-disciplinary, collaborative networks. CIE Blue Print Orange County Local Partnership Agreement Meeting -** SCDD staff participated in the Competitive Integrated Employment (CIE) Blue Print Orange County Local Partnership Agreement Meeting at the Regional Center of Orange County in Tustin, CA on December 14, 2017. Items discussed included: Membership list update; Documents update; Regional Center of Orange County (paid internship program); Orange County Development Board presentation on the initiative to strengthen Education and Workforce Development Services for Justice-Involved Young Adults; OC School Association of School Psychologists Newsletter Article; Thompson Policy Institution Transition Initiative Website (identification of materials to post); Department of Rehabilitation Student Services Programming; and future meeting schedule. Additionally, SCDD Orange County staff promoted the January O.C.E.A.N. meeting and upcoming Self-Determination trainings citing flexibility to support those pursuing CIE. (OTH=22, ORGs=14)

**GOAL #2.2: The Council, in consultation with its federal partners, will increase identification, advocacy and/or sponsorship of legislative, regulatory, policy, procedure and/or practice changes to increase CIE for people with I/DD.**

- SCDD staff engaged in discussion about employment issues and disseminated information on the end of the Deferred Action for Childhood Arrivals (DACA) program and the impact on Employment Authorization Documents (EADs). This training was provided to typically under-represented Hispanic/Latino individuals, families and stakeholders in the Sonoma County community. A DACA work permit information sheet was

distributed to each participant. Translation services were provided in Spanish, by the Sonoma County Department of Education. (SA=5, FA=23, OTH=9, ORGs=2)

**GOAL #3.1: The Council will work with housing entities to increase the development and/or provision of community housing for people with I/DD.**

- As part of the Yolo County Housing Commission, SCDD staff developed and distributed information to publicize housing needs of people with I/DD; request accessible, affordable housing with local housing authorities in regional catchment areas. 12 collaborations developed & 12 meetings held with regional Dept. of Fair Employment & Housing (DFEH), HUD, &/or local housing authorities (OTH=18, ORGs=5)

**GOAL #3.2: The Council will identify and decrease barriers to housing for people with I/DD.**

- SCDD staff provided training on Inclusion and HCBS Settings Rules to self-advocates and parents at MORE Rehabilitation in Placerville. 35 people attended the training. 22 submitted Before/After Surveys. Knowledge of Regional Center supports in CA increased from 2.8 to 3.76. Knowledge of full inclusion and the HCBS Settings Rule increased from 2.25 to 3.68. Overall satisfaction with the training was 3.9 out of 5. Handouts included SCDD Brochure, CalABLE flyer, IPP Basics flyer, Your IPP Meeting Planner, 75 Actions that Build Community, HCBS summary from DDS. The greatest concern expressed by the parents was that their children are being well served by MORE and they do not think their family member would benefit from more community inclusion during the time they attend MORE. (SA=11, FA=8, OTH=3)

**GOAL #3.3: The Council, in consultation with its federal partners, will increase identification, advocacy and/or sponsorship of legislative, regulatory, policy, procedure and/or practice changes to increase housing for people with I/DD.**

- SCDD Staff participated in the Bay Area Housing Coalition Workshop on Housing at San Andreas Regional Center. At the workshop staff participated in a focus group. The focus group created and understanding of the ideal type of housing for men and women with developmental disabilities. Staff presented the focus groups outcomes to the full Workshop. (SA=2, FA=12)

*Respectfully Submitted: Vicki L. Smith, Deputy Director, Regional Office Operations*



**GOAL #4.1: The Council and its federal partners will increase knowledge and awareness for people with I/DD and their families about the availability of and access to health and public safety-related services and supports.**

- SCDD staff provided 17 handouts on "Tips for Survivors, Coping with Grief After a Disaster or Traumatic Event" at the People First meeting in light of the recent the fire Mendocino county. Staff shared information about resources such as groups that respond during and after a disaster and where you can get financial or housing help if needed. (SA=11, FA=2, OTH=5).

**GOAL #4.2: The Council, its federal partners, and self-advocates will increase information and training to law enforcement, court personnel, health care providers, and/or other care professionals about disability-related health and safety issues.**

- SCDD staff trained 50 Police Officers from Sacramento Police Department and surrounding counties as part of their Crisis Intervention Team (CIT) Training. A 3-hour training was completed on Intellectual/and Developmental Disabilities and Law Enforcement. SCDD brochures, ACRC Information Sheet, and a Handout on Tips to Identify and Work with Individuals with Autism were distributed to 50 officers. 10 officers joined our email list. 3 of the 20 officers were also family members of individuals with developmental disabilities. (FA=3, OTH=47)

**GOAL #4.3: The Council, in consultation with its federal partners, will increase identification, advocacy and/or sponsorship of legislative, regulatory, policy, procedure and/or practice changes to increase accessibility to health care and public safety services for people with I/DD and their families.**

- SCDD staff participated in the Children's Mental Health Forum on December 13, 2017 in Mission Viejo, CA. This meeting included health care providers and agencies from Orange County who were presented with data from the 23rd Annual Report on the Conditions of Children in Orange County produced by the Orange County Children's Partnership chaired by Supervisor Andrew Do. Discussion points included areas identified for improvement such as early prenatal care, physical fitness and nutrition,

*Respectfully Submitted: Vicki L. Smith, Deputy Director, Regional Office Operations*

behavioral health, child poverty, CalWorks, supplemental nutrition, housing, and child welfare with the primary focus for today's forum on mental health. SCDD participated in the breakout sessions to identify gaps in services for those with Intellectual/Developmental Disabilities which (depending on the primary diagnosis) typically bounce families between CalOptima and the County of Orange for mental health services which often leaves their mental health needs improperly treated. (OTH=135, ORGs=85)

**GOAL #5.1: The Council and its federal partners will increase knowledge and awareness of developmental milestones and intervention services for families of young children and professionals.**

- SCDD staff presented "Resources & Accommodations for Children with Autism" in Irvine, CA to a group of 18 child care professionals. The "Super Saturday Staff Development Day" is hosted by the City of Irvine on an annual basis and includes mini-conferences for After Care and Education Professionals. The areas of the training covered DSM-V Criteria for Autism, California Education Code /Educational Criteria for ASD, Understanding Behavior in Kids with ASD, Accommodations in an After School Setting, Resources, and Therapies/Interventions. The evaluations completed by the attendees showed an overall improvement (5 being "high" and 1 being "low") in knowledge of DSM-V criteria, including severity levels, for Autism (1.84 point increase); knowledge of who provides an Autism diagnosis and how a child accesses services in the community (2.00 point increase); knowledge of therapies and interventions (1.81 point increase); and confidence in advocating for children with Autism to access resources (1.69 point increase). Some positive comments received were: "I like how the criteria was explained," "Very informative - thank you!," "Would love more info," and "Great presentation, very informative." Funds leveraged include AV equipment, breakfast and lunch. (OTH=18, ORGs=15)

**GOAL #5.2: The Council, in consultation with its federal partners and other stakeholders, will increase awareness and knowledge for families and self-advocates about the availability of and access to services which support inclusive education.**

- SCDD staff participated in the graduation ceremony for the Training Individuals for Grassroots Reform (TIGER) cohort for whom we provided

*Respectfully Submitted: Vicki L. Smith, Deputy Director, Regional Office Operations*

training on special education, advocacy, adult services, employment and other topics throughout 2017. Staff presented the certificates of completion to each member of the cohort. Because of the success of this course, Learning Rights has asked us to provide it again in 2018 to about 50 students. (FA=150, OTH=20)

**GOAL #5.3: The Council, in consultation with its federal partners and in collaboration with educators and stakeholders, will increase information and technical assistance to prepare and empower students, families and professionals in developing individualized transition plans that lead to employment, post-secondary education &/or independent living options & opportunities.**

- At Stanford University, SCDD staff spoke to the Disability Studies class taught by Professor Doron Dorfman, JD, about SCDD, our state plan goals and legislative platform. BARO staff also covered issues of equity, and where collaboration and partnership is critical for upholding and extending rights to people with disabilities. BARO staff also was introduced to and spoke with Dr. Rosemarie Garland-Thomson, Bioethicist, Author and Disability Studies Professor at Emory University. Group discussion included ethics and developments in technology, disability identify and rights. Several students reach out for additional TA and information after the class. (SA=3, OTH=26)

**GOAL #5.4: The Council, in consultation with its federal partners, will increase identification, advocacy and/or sponsorship of legislative, regulatory, policy, procedure and/or practice changes to increase access to quality education services throughout the lifespan for people with I/DD.**

- SCDD staff collaborated on a Legislative Breakfast with local and state representatives to educate them on what services people with developmental disabilities receive. The SCDD provided information on our agency and our upcoming events. (OTH=42)

**GOAL #6.1: The Council, in collaboration with our federal DD partners, will reduce service access barriers and decrease the disparity in available information, which describes services and supports that may be purchased throughout California's Regional Center system, by translating and**

*Respectfully Submitted: Vicki L. Smith, Deputy Director, Regional Office Operations*

**providing that information in Spanish and tracking statewide POS disparity data for Spanish-speaking self-advocates and families.**

- SCDD Staff chaired Disparity Task Force meeting for Santa Clara County / San Andreas Regional Center. Seven members attended the meeting. At the meetings the Family Mentor Programs discussed the meeting they held the San Andreas and gave an update on the progress of their programs. Staff discussed the Department of Developmental services recent stakeholders meeting in Oakland. Also discussed were the proposals that were developed by the local Family Mentor Programs as well as the proposal being planned submitted by San Andreas Regional Center. (SA=1, OTH=6)

**GOAL #6.2: The Council will increase the knowledge and skills of people with I/DD to move from institutional to community settings and to increase their ability to self-advocate.**

- SCDD staff shared information with Jamie Crum, Director of the Communication Technology Education Center, regarding current grants offered through the Regional Centers to reduce disparities and also to increase transition to comply with HCBS Settings Rules. Both of these require an improved way for individuals who are non-verbal to find a way to communicate their needs and wants, hopes and dreams. CTEC helps individuals increase their alternative communication, which is vital to individuals to fully participate in their Person Centered Plans. CTEC is especially interested in helping individuals who have moved from Sonoma DC to Sacramento, to increase their communication options. (ORGs=1)

**GOAL #6.3: The Council will increase outreach, training, and technical assistance to improve the quality of and access to services, including (but not limited to) Regional Centers, education, transportation, public benefits, child care, and recreation for people with I/DD and their families.**

- SCDD staff sits on the Accessible Services Advisory Committee and attended the quarterly meeting. During the meeting the issue of evacuation during an emergency was brought up especially in light of the recent wildfires. MTS reported on the lessons learned regarding the difficulty of persons who have disabilities or are elderly to evacuate in the event of an

*Respectfully Submitted: Vicki L. Smith, Deputy Director, Regional Office Operations*

emergency. As a result a procedure was developed in the event of a disaster that would require evacuation. If evacuation is required 1st Transit, the local para-transit provider will contact it's ADA certified riders in the affected area to offer assistance in the evacuation process. MTS reported this offer will be limited to para- transit service clients only due to funding restraints. Membership guidelines were discussed and approved by the committee. (FA=3, OTH=10, ORGs=13)

**GOAL #6.4: The Council, in consultation with its federal partners, will increase identification, advocacy and/or sponsorship of legislative, regulatory, policy, procedure and/or practice changes to increase access to quality community-based services for people with I/DD and their families.**

- SCDD staff met with Assemblymember Choi's Legislative Aide on 12/6/17 in Santa Ana, CA to discuss local advocacy activities in Orange County related to the 2017-2021 State Plan Goal Objectives. Some activities discussed were: Self-Determination Program; Connect with a Cop and other law enforcement events; Least Restrictive Environment Town Hall and other parent support groups; Post -Secondary Education Transition Consortium; Orange County Adult Transition Task Force; and an overview of regional center eligibility (Early Start & Lanterman Act) including gaps in services/systemic needs. Also provided during this meeting was an overview of the SCDD Quality Assessment project. SCDD Orange County office will continue to communicate upcoming events and trainings of interest (law enforcement and education) to Assemblymember Choi's office to arrange for his attendance in the near future.

# Clients' Rights Advocate / Volunteer Advocacy Services

## SCDD AT WORK INSIDE THE DEVELOPMENTAL CENTERS

SCDD provides comprehensive clients' rights advocacy services (CRA) and volunteer advocacy services (VAS) for persons with I/DD who are residents of state developmental centers and the state operated community facility through an interagency agreement with DDS.

## Project Staff

### *Sonoma DC*

Tobias Weare, CRA  
Ross Long, VAS  
Michele Sloane, Office Tech

### *Porterville DC*

CRA Vacancy  
Connie Wilson, Office Tech  
VAS Coordinator Vacancy

### *Fairview DC*

Laurie St. Pierre, CRA  
VAS Coordinator Vacancy

### *Canyon Springs CF*

Robbin Puccio, CRA  
Julie Hillstead, VAS

*CRA/VAS Project Manager*  
**Holly R. Bins**



State Council on Developmental Disabilities

Census as of December 1, 2017

Sonoma DC	190
Porterville DC	281
Fairview DC	141
Canyon Springs CF	45
<b>Total</b>	<b>657</b>

## Project Activity for November and December 2017

### Sonoma Developmental Center

SDC clients and staff are acclimating back to campus after October evacuation from the wildfires. Forty plus clients were early transitioned to community placements during evacuation. Six clients were transferred to Porterville DC. Remaining clients returned back to the SDC campus on October 22<sup>nd</sup>. With the reduction in population, several units affected by the fire and smoke closed. Residential units consolidated. Some individuals experienced a sharp decrease in challenging behaviors after return from evacuation. Clients and staff proved resilient during evacuations and grew closer as a result. Community access has decreased for NF clients due to lack of vehicles. Vehicles are used to transport ICF clients to off-site programming. VAS and CRA attended 21 IPPs and 53 transition meetings this period.

### Porterville Developmental Center

Acting CRA and VAS project staff attended monthly human rights committee/behavior management, reviewed bioethics, reviewed denial of rights and highly restrictive interventions. VAS volunteer advocates attended 2 transition and 4 individual program plan meetings in this reporting period. VAS community advocate attended 11 visits in reporting period. Acting CRA reviewed 13 denial of rights reviews. Advocacy staff had 40+ client contacts. Recruitment is in final stages for VAS Coordinator and CRA.

### Fairview Developmental Center

FDC consolidated a unit in Dec. Staff continue to separate from FDC due to impending closure. CRA attended 12 transition mtgs, 7 IPPs or special team meetings; 6 denial of rights meetings, conducted 7 new employee rights trainings; 4 acute crisis meetings; 6 human rights/behavior support meetings, 1 FCA (Fairview community Association)/ self-advocacy meetings. Acting VAS Coordinator and advocates attended 10 Transition Planning meetings; 1 person centered plan; 1 special team; 1 People First/self advocacy; CRA assisted with PDC coverage. Recruitment underway to fill vacancy for VAS Coordinator.

### Canyon Springs Community Facility

VAS Coordinator and volunteers attended 11 IPP/special team meetings; 4 transition meetings; facilitated 3 clients with creation of employment futures, researched local employment opportunities for VAS consumers. VAS assisted with PDC VAS coverage. CRA attended 2 transition meetings; 2 denial of rights at CS at this time; participated in 5 IPP meetings, attended 2 human rights meetings, facilitated 8 self-advocacy meetings, attended 8 Emerging Risk Notification meetings, escort ratios and restricted access reviewed; assisted 5 clients in court communication, provided 4 rights trainings for CS staff.



## Clients' Rights Advocate and Volunteer Advocacy Services

### Developmental Center Closure Update

January 18, 2018

#### *Community Transition Numbers for 2017*

	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sept	Oct	Nov	Dec	TOTAL number of transitions to community	Dec 1 2017 census
Canyon Springs*	0	2	0	0	0	3	0	0	0	3	2	0	10	45
Fairview	0	4	10	3	12	7	2	3	0	3	3	2	59	141
Porterville*	2	1	2	2	4	6	4	3	4	1	2	6	37	281
Sonoma	11	9	11	7	9	3	1	6	5	44	5	17	191	190

*\*Canyon Springs Community Facility and Porterville Developmental Center Secure Treatment Area are not scheduled for closure. The Porterville Developmental Center General Treatment Area is scheduled to close in 2021. Sonoma DC is scheduled to close by December 31, 2018. Fairview Developmental Center is scheduled to close by 2021.*

#### **California Department of Public Health (CDPH) and Centers for Medicare & Medicaid Services (CMS)**

Canyon Springs	CDPH surveyed CS in August 2017. No conditions of participation out pending final findings.
Fairview	CMS settlement agreement extended to December 31 2017 CDPH surveyed ICF on November 1, 2017. CDPH found no



	conditions of participation out pending final results. Plan of corrections submitted on November 11, 2017.
Porterville	CMS settlement agreement extended to December 31 2017
Sonoma	CMS notified DDS of cancellation of settlement agreement with SDC on 05/13/2016. ICF units were decertified by CMS as of 07/01/2016. CDPH surveyed ICF in December 2017. All conditions met. Plan of corrections submitted.

***Porterville and Fairview Certified Unit Population Projections***

The projections below establish the maximum permissible client census eligible for federal funding in the PDC and FDC certified units as of the first calendar day of the listed month. Federal Financial Participation is only permissible for clients on the Client List as of June 27, 2016. No Federal Financial Participation can be sought for the number of clients that exceed the projections below, even if the clients that exceed the census limits below are on the Client List as of June 27, 2016.

Monthly Census. Maximum Per CMS Agreement	Porterville DC – General Treatment Area ICF	Actual ICF Census	Fairview DC ICF	Actual ICF Census
July 2016	105	104	136	128
July 2017	82	80	106	91
July 2018	61		57	
July 2019	39		5	
October 2019			0	
July 2020	18			
July 2021	0			

***SCDD Clients' Rights Advocate (CRA) current observations inside the DC/CF***

Canyon Springs	Trust services continue to be transitioned from FDC to in-house at CS. No writs of habeas corpus filed this period. Clients continue to request jury trials for commitment hearings. The facility continues to undergo improvements.
Fairview	FDC staff continue to separate. Consolidation of another ICF unit occurred in December 2017. Informed consent being monitored by CRA. CRA involved in all transition meetings.
Porterville	The slow transition process increases frustration for some clients. Noted increase in clients requesting assistance with medication changes and transition. Recruitment is underway to fill the CRA position.
Sonoma	SDC clients and staff continue to readjust after October evacuation.



	Smoke and fire damage forced closure and consolidation of ICF units. Most individuals adjusted well upon return. Some behaviors were extinguished after return. Client clothing and personnel items left on campus during evacuation were cleaned. Sorting and distribution of items continues. Increased visits from SDC and SRP for clients transitioned from Dixon evacuation site to community placement. Television cable for entire facility was damaged in the fire. Expected restoration date is January 12 2018. SDC mobile crisis unit will begin services on January 8 2018 in North Bay RC and East Bay RC catchment areas. 32 clients are projected to be placed in the month of January.
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***SCDD Volunteer Advocacy Services (VAS) community transition current trends***

The VAS Project serves approximately 25% of the individuals residing in the DC/CFs. A volunteer advocate or the VAS Project Coordinator provides direct advocacy services for twelve months post placement.

Canyon Springs	VAS serves thirty-three clients. Advocates attended ten community based meetings this reporting period. Two new volunteers trained. VAS Coordinator worked in the community with providers, Regional Center staff and DOR to enhance employment opportunities for CS consumers. The Coordinator is assisting clients in developing employment futures boards.
Fairview	VAS Coordinator and advocates attended twenty-two meetings with clients for transition activity. Recruitment efforts underway to fill the VAS Coordinator vacancy.
Porterville	Transition activity into all parts of California noted for General Treatment areas. Volunteer recruitment will commence upon the hire of the Coordinator. Final stage for recruitment for VAS Coordinator.
Sonoma	Numerous clients on the VAS program were transitioned early to community placement from fire evacuation site. VAS Coordinator and volunteer advocates followed up transition and care activity for transferred individuals. VAS to continue monitoring for appropriate placement and adjustment for those returned to the SDC campus. Community access for VAS consumers noted due to lack of vehicles. SDC will be leasing more vehicles in 2018. Advocates attended 49 transition meetings both at SDC and in the community. Six VAS consumers transitioned this reporting period. With more SDC staff separating, for many clients VAS advocates retain longest historical knowledge remaining at SDC.

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# **2017 PROGRAM PERFORMANCE REPORT**

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# 2016-17 Program Performance Review



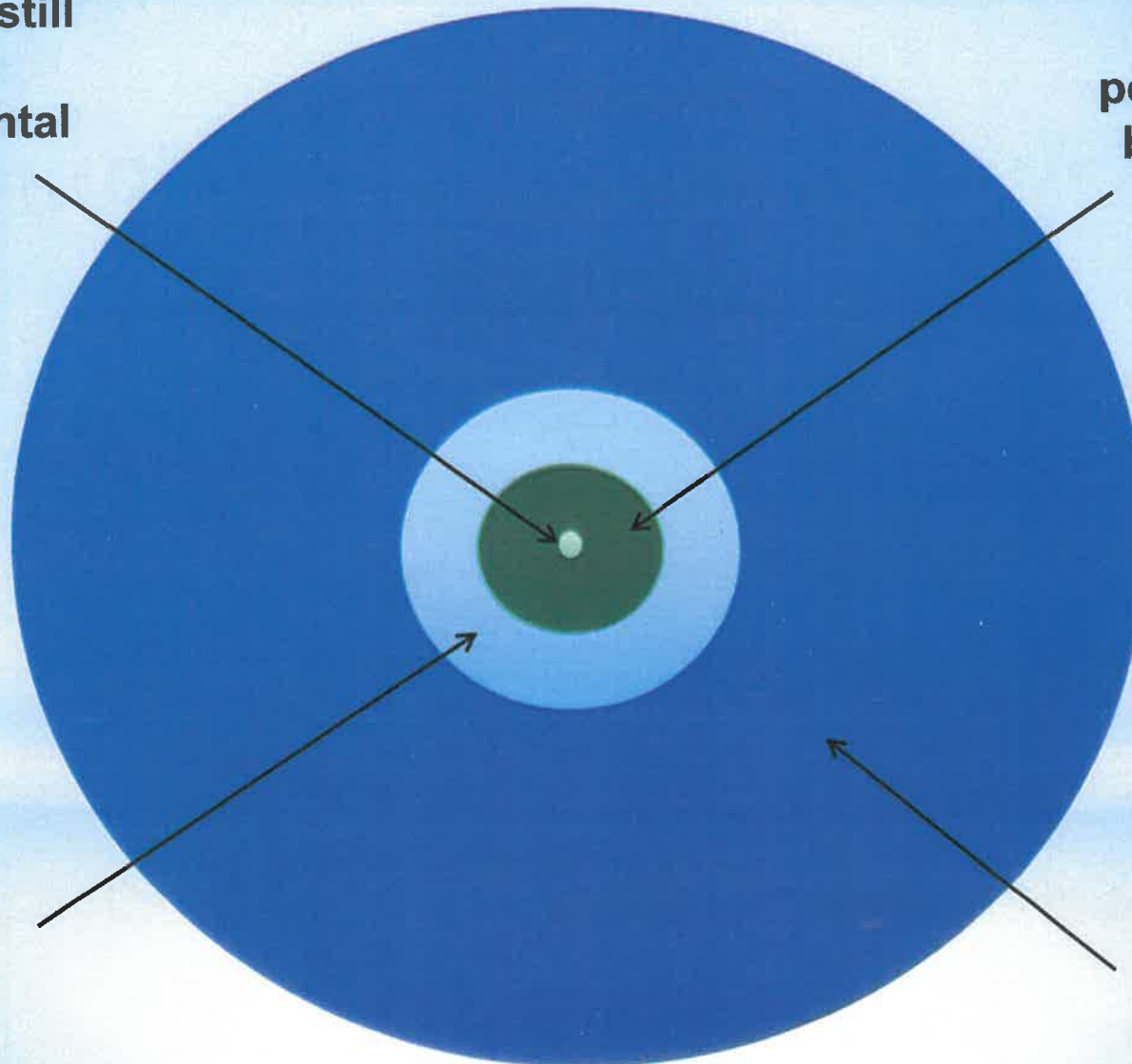
## Californians the Council Serves

657 people still  
living in  
developmental  
centers

316,327  
people served  
by Regional  
Centers

624,479  
people in  
California  
with I/DD by  
the federal  
definition

39.524 million  
people living  
in California





**Goal 1 (Self-Advocacy):** Californians with I/DD and their families reflecting the diversity of the state will have increased information and supports to advocate for civil and service rights to achieve self-determination, integration and inclusion in all areas of community life.

**Objective 1.1**

The Council will increase knowledge about self-determination and person-centered planning by monitoring, supporting and actively engaging in the implementation of the Self-Determination Program.

## 2016-17 Federal Fiscal Year in Obj. 1.1

**Educated in person through training, technical assistance, outreach, and informational materials:**

10,944 Self-Advocates  
11,393 Family Advocates  
5,942 Professionals and Others

### **Events:**

10,191 Educational materials given  
in person with  
technical assistance



### **Trainings:**

89 Self-Determination Trainings in English & Spanish to 2,695 people  
36 Person-Centered Planning Trainings in English & Spanish to 992 people

2 Statewide SDAC Meetings  
155 Local SDAC Meetings, reaching 1,137 people

**Electronic Information Distribution to 70,857 people:**

12,408 Self-Advocates  
35,413 Family Advocates  
23,036 Professionals and Others



**Goal 1 (Self-Advocacy):** Californians with I/DD and their families reflecting the diversity of the state will have increased information and supports to advocate for civil and service rights to achieve self-determination, integration and inclusion in all areas of community life.

**Objective 1.2:** The Council will promote self-advocates in leadership roles in statewide networks a) through the strengthening of a statewide self-advocacy organization and by supporting self-advocates; b) within cross-disability leadership coalitions; and c) in training other self-advocates to become leaders.

## 2016-17 Federal Fiscal Year in Obj. 1.2

**The Council supported self-advocates to advocate for themselves and train others in how to advocate.**

**Educated in person through training, technical assistance, outreach, and informational materials:**

**5,347 Self-Advocates**

**516 Family Advocates**

**1,869 Professionals and Others**

**Coordinated and Sponsored Self-Advocacy Events:**

**8<sup>th</sup> Annual Self-Advocacy Conference - 450 attendees**

**Self-Advocacy Council 6 Conference - 245 attendees**

**Empowering Asian Families Conference #3 - 95 attendees**

**Changing & Choices: Leading the Charge - 215 attendees**

**21<sup>st</sup> Annual Gold Gate Conference - 185 attendees**

**2016 Supported Life Conference - 320 attendees**

**California's People 1<sup>st</sup> Gathering - 400 attendees**

**Trainings:**

**22 Self-Advocate led trainings to 531 people**

**23 Train-the-Trainer training sessions to 484 people**





**Convened, Facilitated and Provided Travel for:**

**6 Self-Advocates Advisory Committee (SAAC)**

**4 SSAN in person SSAN meetings**

**Facilitated 28 phone SSAN meetings**



**Wrote and Passed a Memo of Understanding  
Between SSAN and the SCDD**

**Self-Advocacy Information Electronic Distribution to  
93,840 people:**

**21,054 Self-Advocates**

**43,373 Family Advocates**

**29,413 Professionals and Others**



**Goal 2 (Employment):** Californians with I/DD and their families reflecting the diversity of the state will have increased information to obtain competitive, integrated employment.

**Objective 2.1:** The Council will increase and promote culturally competent strategies and resources that facilitate competitive, integrated employment (CIE) of people with I/DD.

## **2016-17 Federal Fiscal Year in Obj. 2.1**

**Educated in person through training, technical assistance, outreach, and informational materials:**

**7,665 Self-Advocates**

**9,095 Family Advocates**

**9,354 Professionals and Others**

### **Events:**

**8 CIE regional or statewide events**

**7,291 Educational materials given in person with technical assistance**

### **Trainings:**

**35 Trainings on Competitive, Integrated Employment to 1,810 people**

**Electronic Information Distribution to 128,716 people:**

**24,236 Self-Advocates**

**56,174 Family Advocates**

**48,306 Professionals and Others**





**Goal 2 (Employment):** Californians with I/DD and their families reflecting the diversity of the state will have increased information to obtain competitive, integrated employment.

**Objective 2.2:** The Council will increase and promote culturally competent strategies and resources that facilitate competitive, integrated employment (CIE) of people with I/DD.

## 2016-17 Federal Fiscal Year in Obj. 2.2

### **Educated in person through legislative change and direct contact:**

**275,575** Self-Advocates

**110,261** Family Advocates

**2,556** Professionals and Others

4 EFC meetings

1 EFC report distributed to 5,500 people

### **Testified in Hearings to Policymaking Bodies:**

11 times to 1,099 people

### **Bills Passed Into Law:**

AB 1695 (Mendoza) on data sharing between DDS, EDD, & DOR

Affects all working age people with I/DD: 275,351

And their families: 110,140

28 meetings with policymakers, reaching 1,200 people

44 meetings collaborating with 375 people on CIE issues

### **Electronic Information Distribution to 61,378 people:**

**15,167** Self-Advocates

**24,520** Family Advocates

**21,691** Professionals and Others



**Goal 3 (Housing):** Californians with I/DD and their families reflecting the diversity of the state will have increased access to affordable, accessible, safe, and fully integrated housing that provides choice and flexibility regarding where and with whom they live.

**Objective 3.1:** The Council will work with housing entities to increase the development and/or provision of community housing for people with I/DD.



## **2016-17 Federal Fiscal Year in Obj. 3.1**

**Educated in person through training, technical assistance, outreach, and informational materials:**

**2,449 Self-Advocates**

**4,632 Family Advocates**

**2,475 Professionals and Others**

**Events:**

**47 stakeholder meetings with 703 people regarding housing development**

**26 meetings with housing authorities or other government bodies  
about housing development**

**Trainings:**

**23 Trainings on about affordable, accessible,  
safe housing & housing rights to 763 people**

**Electronic Information Distribution to**

**77,234 people:**

**19,064 Self-Advocates**

**33,649 Family Advocates**

**24,521 Professionals and Others**



**Goal 3 (Housing):** Californians with I/DD and their families reflecting the diversity of the state will have increased access to affordable, accessible, safe, and fully integrated housing that provides choice and flexibility regarding where and with whom they live.

**Objective 3.2:** The Council will work with housing entities to increase the development and/or provision of community housing for people with I/DD.

## 2016-17 Federal Fiscal Year in Obj. 3.2

**Educated in person through training, technical assistance, outreach, and informational materials:**

**3,390 Self-Advocates**

**4,704 Family Advocates**

**1,878 Professionals and Others**

**Information and Resources distributed in person:**

**7,549 housing resource handouts**

**Trainings:**

**14 trainings to 695 people on the HCBS Final Settings Rule and housing inclusion**

**11 trainings to 378 people on long-range financial planning for housing**

**Electronic Information Distribution to 148,023 people:**

**36,901 Self-Advocates**

**63,455 Family Advocates**

**47,667 Professionals and Others**





**Goal 3: (Housing):** Californians with I/DD and their families reflecting the diversity of the state will have increased access to affordable, accessible, safe, and fully integrated housing that provides choice and flexibility regarding where and with whom they live.

**Objective 3.3:** The Council, in consultation with its federal partners, will increase identification, advocacy and/or sponsorship of legislative, regulatory, policy, procedure and/or practice changes to increase housing for people with I/DD.

## **2016-17 Federal Fiscal Year in Obj. 3.3**

**Educated in person through legislative change and direct contact:**

**47** Self-Advocates

**119** Family Advocates

**494** Professionals and Others

**Testified in Hearings to Policymaking Bodies:**

9 times to 427 people

**Bills Passed Into Law:**

SB 218 (Dodd) Qualified ABLE Program: Savings accounts

AB 384 (Irwin) Qualified ABLE Program: Savings accounts

20 meetings with policymakers, reaching 391 people



**Goal 4 (Health & Safety):** Californians w/ I/DD and their families reflecting the diversity of the state will have increased information to access health, public safety, and related services that meet their needs and health care choices.”

**Objective 4.1:** The Council and its federal partners will increase knowledge and awareness for people with I/DD and their families about the availability of and access to health and public safety-related services and supports.



## 2016-17 Federal Fiscal Year in Obj. 4.1

**Educated in person through training, technical assistance, outreach, and in person informational materials:**

9,706 Self-Advocates

10,250 Family Advocates

9,500 Professionals and Others

### **Events:**

19,022 Educational materials on health related information

14,000 Educational materials on safety & emergency preparedness

### **Trainings:**

43 Trainings on health and access to care to 3,070 people

56 Trainings on emergency preparedness, safety, and bullying

### **Electronic Information**

**Distribution to 162,077 people:**

24,082 Self-Advocates

71,755 Family Advocates

66,240 Professionals and Others



**Goal 4 (Health & Safety):** Californians w/ I/DD and their families reflecting the diversity of the state will have increased information to access health, public safety, and related services that meet their needs and health care choices.

**Objective 4.2:** The Council, its federal partners, and self-advocates will increase information and training to law enforcement, court personnel, health care providers, and/or other care professionals about disability-related health and safety issues.



## **2016-17 Federal Fiscal Year in Obj. 4.2**

**Educated in person through training, technical assistance, outreach, and in person informational materials:**

**128,430 Self-Advocates**

**26,623 Family Advocates**

**3,919 Professionals and Others**

**Trainings:**

**65 Trainings on public safety issues for people with I/DD to law enforcement, first responders & community care licensing analysts**

**SCDD Training Impact:**

**127,848 People with I/DD whose care is overseen by community care licensing now have trained licensing analysts (investigators)**

**26,116 Family advocates of people with I/DD whose care is overseen by community care licensing now have trained licensing analysts (investigators)**

**Electronic Information Distribution to 89,354 people:**

**14,973 Self-Advocates**

**29,881 Family Advocates**

**44,500 Professionals and Others**



**Goal 4 (Health & Safety):** Californians w/ I/DD and their families reflecting the diversity of the state will have increased information to access health, public safety, and related services that meet their needs and health care choices.

**Objective 4.3:** The Council, in consultation with its federal partners, will increase identification, advocacy and/or sponsorship of legislative, regulatory, policy, procedure and/or practice changes to increase accessibility to health care and public safety services for people with I/DD and their families.



## **2016-17 Federal Fiscal Year in Obj. 4.3**

**Educated in person through legislative change and direct contact:**

**25 Self-Advocates**

**78 Family Advocates**

**1,083 Professionals and Others**

### **Meetings:**

23 meetings to advocate for health services to 1,062 people

17 collaborative partner meetings on health/public safety to 120 people

56 meetings with U.S. Congressional staff members  
in Washington DC on Medicaid stories of self  
and family advocates

**Electronic Information Distribution:  
to 154,782 people:**

30,629 Self-Advocates

55,608 Family Advocates

68,545 Professionals and Others



**Goal 5 (Early Intervention, Education,  
Transition & Post-Secondary Education):**

Californians with I/DD and their families reflecting the diversity of the state will have increased information, in order to obtain inclusive education services throughout the lifespan.

**Objective 5.1:** The Council and its federal partners will increase knowledge and awareness of developmental milestones and intervention services for families of young children and professionals.

## 2016-17 Federal Fiscal Year in Obj. 5.1

**Educated in person through training, technical assistance, outreach, and in person informational materials:**

**1,404 Self-Advocates**

**4,568 Family Advocates**

**1,748 Professionals and Others**

**Events:**

**5,365 Educational materials on developmental milestones and early intervention**

**Trainings:**

**29 Trainings on early identification to 700 parents and professionals**

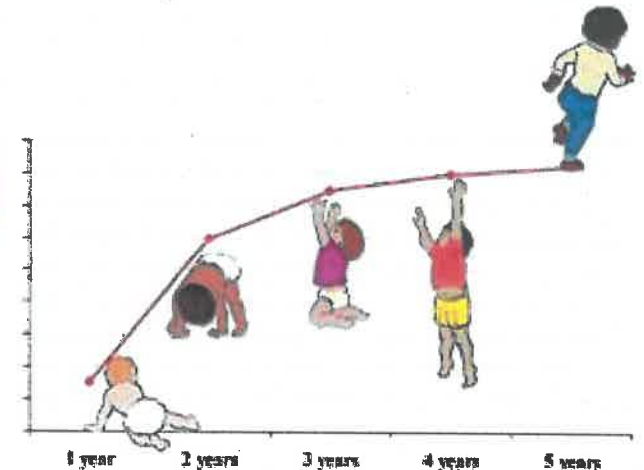
**13 Trainings on early identification/intervention to medical, child care & Early Start professionals**

**Electronic Information Distribution to 50,088 people:**

**11,206 Self-Advocates**

**22,401 Family Advocates**

**16,481 Professionals and Others**





**Goal 5 (Early Intervention, Education, Transition & Post-Secondary Education):**

Californians with I/DD and their families reflecting the diversity of the state will have increased information, in order to obtain inclusive education services throughout the lifespan.

**Objective 5.2:** The Council, in consultation with its federal partners and other stakeholders, will increase awareness and knowledge for families and self-advocates about the availability of and access to services which support inclusive education.

## **2016-17 Federal Fiscal Year in Obj. 5.2**

**Educated in person through training, technical assistance, outreach, and in person informational materials:**

**3,187 Self-Advocates**

**7,841 Family Advocates**

**3,401 Professionals and Others**

**Events:**

**15,120 Educational materials  
on advocacy within the  
school system**



**Trainings:**

**98 Trainings on self-advocacy within the schools**

**22 Train-the-Trainer training sessions teaching 233 parents to  
teach advocacy to other parents**

**Electronic Information Distribution to 103,228 people:**

**15,238 Self-Advocates**

**58,665 Family Advocates**

**29,325 Professionals and Others**

**Goal 5 (Early Intervention, Education, Transition & Post-Secondary Education):**

Californians with I/DD and their families reflecting the diversity of the state will have increased information, in order to obtain inclusive education services throughout the lifespan.

**Objective 5.3:** The Council, in consultation with its federal partners and in collaboration with educators and stakeholders, will increase information and technical assistance to prepare and empower students, families and professionals in developing individualized transition plans that lead to employment, post-secondary education &/or independent living options & opportunities.



## **2016-17 Federal Fiscal Year in Obj. 5.3**

**Educated in person through training, technical assistance, outreach, and in person informational materials:**

**1,376 Self-Advocates**

**1,819 Family Advocates**

**2,181 Professionals and Others**

**Events/Information:**

**6,134 Educational materials given out in person on advocacy within the school system**

**Trainings:**

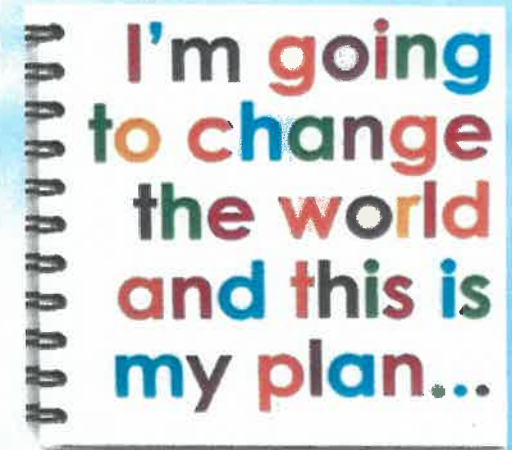
**29 Trainings on PCP/ITP to educators, parents & stakeholders**

**Electronic Information Distribution to 63,507 people:**

**12,039 Self-Advocates**

**28,521 Family Advocates**

**22,947 Professionals and Others**



**Goal 5 (Early Intervention, Education, Transition & Post-Secondary Education):**

Californians with I/DD and their families reflecting the diversity of the state will have increased information, in order to obtain inclusive education services throughout the lifespan.

**Objective 5.4:** The Council, in consultation with its federal partners, will increase identification, advocacy and/or sponsorship of legislative, regulatory, policy, procedure and/or practice changes to increase access to quality education services throughout the lifespan for people with I/DD.

## **2016-17 Federal Fiscal Year in Obj. 5.4**

**Educated in person through legislative change and direct contact:**

**7 Self-Advocates**

**196 Family Advocates**

**257 Professionals and Others**

**Testified in Hearings to Policymaking Bodies:**

**3 times to 249 people**

**Bills Passed Into Law:**

**AB 1264 (Eduardo Garcia) on special education pupils,  
individualized education program, meetings and school records**

**66 meetings with policymakers, reaching 207 people**

**Electronic Information Distribution to 17,255 people:**

**2,844 Self-Advocates**

**7,641 Family Advocates**

**6,770 Professionals and Others**



## **Goal 6 (Formal & Informal Community**

**Supports):** Californians with I/DD and their families reflecting the diversity of the state will have increased information and supports to access community-based services available to the general population.

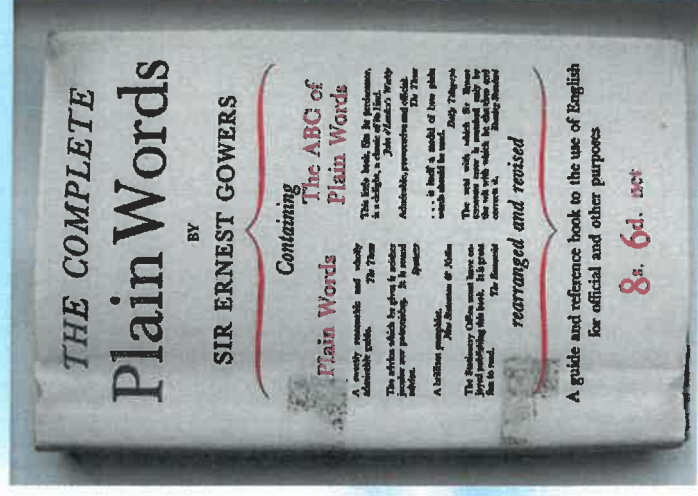
**Objective 6.1:** The Council, in collaboration with our federal DD partners, will reduce service access barriers and decrease the disparity in available information, which describes services and supports that may be purchased throughout California's Regional Center system, by translating and providing that information in Spanish and tracking statewide POS disparity data for Spanish-speaking self-advocates and families.

## 2016-17 Federal Fiscal Year in Obj. 6.1

## 4 Meetings with collaborative partners to acquire NCI data

## Translated data into plain language document

## 6 meetings with collaborators and translators to translate information and training into Spanish





**Goal 6 (Formal & Informal Community Supports):** Californians with I/DD and their families reflecting the diversity of the state will have increased information and supports to access community-based services available to the general population.

**Objective 6.2:** The Council will increase the knowledge and skills of people with I/DD to move from institutional to community settings and to increase their ability to self-advocate.

## **2016-17 Federal Fiscal Year in Obj. 6.2**

**Educated in person through training, technical assistance, outreach, and in person informational materials:**

**934 Self-Advocates**

**831 Family Advocates**

**683 Professionals and Others**

**2 Surveys with response from 237 people on Developmental Center closure process**

**Trainings:**

**15 Trainings on available supports/services**

**4 Trainings to 104 people on personal/civil rights**

**8 Trainings on Person-Centered Program & Self-Determination to 446 people**

**4 Trainings on conservatorship and alternatives**

**Electronic Information Distribution to 35,933 people:**

**10,124 Self-Advocates**

**13,318 Family Advocates**

**12,491 Professionals and Others**



**Goal 6 (Formal & Informal Community Supports):** Californians with I/DD and their families reflecting the diversity of the state will have increased information and supports to access community-based services available to the general population.

**Objective 6.3:** The Council will increase outreach, training, and technical assistance to improve the quality of and access to services, including (but not limited to) Regional Centers, education, transportation, public benefits, child care, and recreation for people with I/DD and their families.



## **2016-17 Federal Fiscal Year in Obj. 6.3**

**Educated in person through training, technical assistance, outreach, and in person informational materials:**

**8,363 Self-Advocates**

**16,318 Family Advocates**

**12,884 Professionals and Others**

**Events:**

**101,897 Educational materials on regional center services, rights & other topics**

**Trainings:**

**53 training about RC services in English to 710 people**

**23 trainings about RC services in Spanish to 501 people**

**11 trainings on transportation to 723 people**

**79 trainings on generic services to 2,665 people**

**Electronic Information Distribution to 759,466 people:**

**119,367 Self-Advocates**

**302,335 Family Advocates**

**337,764 Professionals and Others**

**Technical assistance to 1,704 people**

**58 RAC Meetings to 876 people**



**Goal 6 (Formal & Informal Community Supports):** Californians with I/DD and their families reflecting the diversity of the state will have increased information and supports to access community-based services available to the general population

**Objective 4:** Californians with I/DD and their families reflecting the diversity of the state will have increased information and supports to access community-based services available to the general population. The Council, in consultation with its federal partners, will increase identification, advocacy and/or sponsorship of legislative, regulatory, policy, procedure and/or practice changes to increase access to quality community-based services for people with I/DD and their families.



## **2016-17 Federal Fiscal Year in Obj. 6.4**

**Educated in person through legislative change and direct contact:**

**266 Self-Advocates  
272 Family Advocates  
1,617 Professionals and Others**

**Testified in Hearings to Policymaking  
Bodies:**

**17 times to 1,254 people**

**Bills Passed Into Law:**

**AB 1379 (Thurmond) on funding for certified access specialist program  
AB 434 (Baker) on state web accessibility standards and reporting**

**229 meetings with policymakers, reaching 688 people**

**55 boardsmanship trainings of 208 Councilmembers and RAC members**

**Electronic Information Distribution to 128,447 people:**

**30,822 Self-Advocates  
51,535 Family Advocates  
46,090 Professionals and Others**



**Total reach of in-person  
contact, legislative  
change, eBlast and  
technical assistance:**

**2,571,311**

# **CYCLE 41 GRANT**

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# STATE PLAN COMMITTEE REPORT TO STATE COUNCIL ON DEVELOPMENTAL DISABILITIES

REQUEST FOR PROPOSAL  
(RFP)

CYCLE 41 PDF GRANT(S)





# Process Outline for Grant Cycle 41



### December 2017

- **12/12** : State Plan Committee (SPC) meets to determine recommendations for Grant Cycle 41 Process , Areas of Emphasis and RFP.

### March – April 2018

- **3/06**: Proposals Due
- **3/20** Admin Review Completed
- **3/20-4/06** Scoring Panel completes task
- **By 4/17** SPC Reviews Scoring Panel Recommendations

### January – February 2018

- **1/18: State Council Approves SPC Recommendations of RFP Package**
- **1/19** : Cycle 41 RFP Released
- **By 2/09**: SCDD Staff holds Pre-bidders Conference

### May 2018

- **5/15**: State Council Approves or Declines SPC Recommendations for Cycle 41 Recipients
- **5/16** Posting of Selected Grantees and opening of Protest Period
- **5/29** Close of Protest Period and Selected Grantees notified

## Grant Cycle 41 Timeline

## Process for Cycle 41 remains the same as Cycle 40

1. **Committee and Council will develop funding priorities and policy themes within the RFP Package e.g.:**
  - State Plan Goal Focus – SPC voted to post RFP with a focus on any of the 6 Goal areas
  - Scope of Work – SPC voted to have Cycle 41 be regional grants up to \$20,000 for one or more projects
  - Scoring Sheet and Weight – minor adjustments were made to the scoring criteria, primarily in combining the Administrative Section, Budget and New and Innovative Approaches into one
2. **SCDD Executive Director selects the Scoring Panel**
  - “The Scoring Panel members are qualified individuals within the State Council on Developmental Disabilities who have knowledge and/or experience in services related to the SCDD Program Development Grant process.”
3. **Council will approve Staff Recommendations on Project Selection rather than Contract Document(s). Final Approval Motion will reflect the following language:**
  - “I move to adopt the proposed findings of X project(s) as recommended by staff, approve the projects as described, and direct Executive Director Carruthers to implement the Council’s approval.”

**NO PROCESS CHANGES FROM CYCLE 40**

**Council will be responsible for:**

- Development of funding and policy priorities for Grant Cycle 41.
- Approval of Final Grant Request For Proposal Package.
- Approval of Staff Funding Recommendations.

**COUNCIL'S AUTHORITY AND ROLE**



- **Established Grant Focus Area** – To maximize Program Development Grant funds, the Committee elected to allow for projects that focus on any of the six State Plan Goals.
- **Established Scope-of-Work:** The Committee elected to allow for one or more projects in each of the regional office areas up to \$20,000 (for a total of \$240,000) based on the Administrative Committee allocation for Cycle 41 Grant(s).
- **Re-Established Criteria for Scoring Identifying 3 Component Areas:**
  - State Plan
  - Methodology
  - Administration/Budget
- **Re-Established Weight of Scores**
- **Confirmed minimum score criteria for recommendations for award**
- **Refined Request for Proposal Language (next slide)**

## OUTCOMES OF STATE PLAN COMMITTEE MEETING OF 12-12-2017



## MINOR REFINEMENTS TO THE RFP LANGUAGE INCLUDE:

- Staff will conduct a non-mandatory pre-bidders conference (web/call) prior to Feb 9, 2018 based on feedback from the Cycle 40 Scoring Panel on trends/patterns of where proposals were weak
- If a Memorandum-of-Understanding or Letter of Commitment is required for the proposal to be successful, a dually executed copy must come with the proposal
- If the submission of a proposal requires board approval, proof of the board approval must come with the proposal
- Grantees required to do bi-monthly ( every other month) reports rather than quarterly reports
- We have attached the Poverty by CA County chart making it easier for bidders to find if the proposed area is identified as such
- We have attached the Federal Performance Measures that a grantee would use to do the bi-monthly reporting

**OUTCOMES OF STATE PLAN COMMITTEE  
MEETING OF 12-12-2017**

# **Approve SPC Recommended RFP Package for Cycle 41 PDF Grant**

**Thank you**



**PROPOSED MOTION**



**Program Development Grant  
Request for Proposal  
Application and Instructions  
Federal Fiscal Year  
2018-19**

**Cycle 41**

**Deadline:  
March 6, 2018**

**No faxes or emails will be accepted**

**The application packet is available at:  
[www.scdd.ca.gov](http://www.scdd.ca.gov)**

**If you would like to have a hard copy mailed to you please call:**

**Contract Analyst: Kristie Allensworth  
Email: [Kristie.Allensworth@scdd.ca.gov](mailto:Kristie.Allensworth@scdd.ca.gov)  
Phone: 916-322-8777**

## TABLE OF CONTENTS

INTRODUCTION.....	03
THE STATE PLAN.....	04
CONTENTS OF PROPOSAL PACKAGE.....	04
ESSENTIAL CRITERIA FOR ALL PROPOSALS.....	04
PROGRAM EVALUATION AND SELECTION PROCESS.....	11
CRITERIA FOR PROPOSAL EVALUATION.....	12
ALLOWABLE AND NON-ALLOWABLE PDG GRANT COSTS.....	13
PDG PROPOSAL REQUIREMENTS/TIMELINE.....	15
FUNDING OF PROJECTS.....	18
NOTICE OF INTENT TO AWARD CONTRACTS AND PROTESTS.....	18
OTHER TERMS AND CONDITIONS .....	19
RESTRICTIONS ON OUTSIDE EMPLOYMENT OF STATE EMPLOYEES.....	22



## **INTRODUCTION**

The California State Council on Developmental Disabilities (SCDD) administers Program Development Grants (PDG) to community-based organizations to fund new and innovative projects. All projects are required to address one or more of the goals and/or objectives in the California State Plan (State Plan) and improve and enhance services for Californians with intellectual/developmental disabilities (I/DD) and their families. Program Development Grants provide funding for new and/or innovative approaches to addressing the needs of Californians with I/DD that are part of an overall strategy for systemic change.

Pursuant to the Developmental Disabilities Assistance and Bill of Rights Act (Public Law 106-402), SCDD has allocated \$20,000 per regional office catchment area for one or more projects serving California to be awarded in Cycle 41. **The total amount allocated for Fiscal Year 2018/19 is \$240,000.00. Projects for Cycle 41 must have regional impact.**

### **Federal and State Law**

The SCDD is a California state agency established by federal and state law. Pursuant to the Developmental Disabilities Assistance and Bill of Rights Act of 2000 (Public Law 106-402), SCDD is to develop and implement a State Plan to support advocacy, capacity-building, and systemic change activities that are consistent with promoting a consumer and family-based system of services and supports. The goal of the federal law is to enable individuals with I/DD to achieve self-determination, independence, productivity, and community integration and inclusion.

The Lanterman Developmental Disabilities Services Act (Welfare and Institutions Code §4540 et seq.) directs SCDD to conduct activities related to meeting the objectives of the State Plan, including activities to demonstrate new approaches to serving individuals with I/DD and their families that are part of an overall strategy for systemic change.

### **Program Development Grant (PDG)**

The PDG is one vehicle used by the Council to meet its obligations under the State Plan. PDG projects are the primary method of providing resources to initiate new and/or innovative projects for Californians with I/DD and their families.

Cycle 41 PDGs are awarded on a federal fiscal year cycle (October 1, 2018 – September 30, 2019), consistent with the goals and objectives outlined in the 2017 - 2021 SCDD State Plan. While the grants provide initial funding for projects to create or expand services, awardees are expected to secure ongoing funding for sustainability of the work.

Grants awarded through this Request for Proposal (RFP) will be administered through the Council's headquarters office. During the RFP process, the Council is to: (1) ensure that all proposals are fairly and consistently reviewed and evaluated; (2) monitor compliance with state and federal laws and policies; and (3) recommend awarding grants to the highest ranked proposal(s), based on available funding and the criteria outlined in this RFP.

## **THE SCDD STATE PLAN (STATE PLAN)**

The State Plan defines critical, current, and emerging issues facing Californians with I/DD and their families. The State Plan is developed with extensive community input from stakeholders throughout California. The State Plan also provides information to the federal Administration on Intellectual and Developmental Disabilities (AIDD) on how the Council will invest its resources. The 2017 - 2021 State Plan can be accessed on the SCDD website: <https://scdd.ca.gov/wp-content/uploads/sites/33/2016/08/2017-2021-State-Plan-as-submitted-to-AIDD-ACL-on-8.22.16.Complete.pdf>

## **CONTENTS OF PROPOSAL PACKAGE**

### **ESSENTIAL CRITERIA FOR ALL PROPOSALS**

1. Proposals submitted must meet one or more of the State Plan goals and/or objectives identified in this RFP.
2. Proposals submitted must serve individuals who meet the federal definition of I/DD.
3. Proposals submitted must be consistent with all applicable federal, state, and local government laws and regulations.
4. Proposals must be complete, including all required attachments.

<b>2017-21 State Plan Goals and Objectives</b>	
<b>Objectives</b>	<p><b><u>Goal 1: Self-Advocacy</u></b></p> <p>Californians with I/DD and their families reflecting the diversity of the state will have increased information and supports to advocate for civil and service rights to achieve self-determination, integration, and inclusion in all areas of community life.</p>
<b>1.1</b>	The Council will increase knowledge about self-determination and person-centered planning by monitoring, supporting, and actively engaging in the implementation of the Self-Determination Program.

<b>1.2</b>	The Council will promote self-advocates in leadership roles in statewide networks a) through the strengthening of a statewide self-advocacy organization and by supporting self-advocates; b) within cross-disability leadership coalitions; and c) in training other self-advocates to become leaders.
<b>Objectives</b>	<b><u>Goal 2: Employment</u></b> Californians with I/DD and their families reflecting the diversity of the state will have increased information to obtain competitive, integrated employment (CIE).
<b>2.1</b>	The Council will increase and promote culturally competent strategies and resources that facilitate competitive, integrated employment (CIE) of people with I/DD.
<b>2.2</b>	The Council, in consultation with its federal partners, will increase identification, advocacy and/or sponsorship of legislative, regulatory, policy, procedure, and/or practice changes to increase CIE for people with I/DD.
<b>Objectives</b>	<b><u>Goal 3: Housing</u></b> Californians with I/DD and their families, reflecting the diversity of the state, will have increased access to affordable, accessible, safe, and fully integrated housing that provides choice and flexibility regarding where and with whom they live.
<b>3.1</b>	The Council will work with housing entities to increase the development and/or provision of community housing for people with I/DD.
<b>3.2</b>	The Council will identify and decrease barriers to housing for people with I/DD.
<b>3.3</b>	The Council, in consultation with its federal partners, will increase identification, advocacy and/or sponsorship of legislative, regulatory, policy, procedure, and/or practice changes to increase housing for people with I/DD.
<b>Objectives</b>	<b><u>Goal 4: Health and Safety</u></b> Californians w/ I/DD and their families, reflecting the diversity of the state, will have increased information to access health, public safety, and related services that meet their needs and health care choices.
<b>4.1</b>	The Council and its federal partners will increase knowledge and awareness for people with I/DD and their families about the availability of and access to health and public safety-related services and supports.
<b>4.2</b>	The Council, its federal partners, and self-advocates will increase information and training to law enforcement, court personnel, health care providers, and/or other care professionals about disability-related health and safety issues.
<b>4.3</b>	The Council, in consultation with its federal partners, will increase identification, advocacy and/or sponsorship of legislative, regulatory, policy, procedure, and/or practice changes to increase accessibility to health care and public safety services for people with I/DD and their families.

<b>Objectives</b>	<p align="center"><b><u>Goal 5: Early Intervention, Education, Transition &amp; Post-Secondary Education</u></b></p> <p>Californians with I/DD and their families, reflecting the diversity of the state, will have increased information, in order to obtain inclusive education services throughout the lifespan.</p>
5.1	The Council and its federal partners will increase knowledge and awareness of developmental milestones and intervention services for families of young children and professionals.
5.2	The Council, in consultation with its federal partners and other stakeholders, will increase awareness and knowledge for families and self-advocates about the availability of and access to inclusive educational services.
5.3	The Council, in consultation with its federal partners and in collaboration with educators and stakeholders, will increase information and technical assistance to prepare and empower students, families and professionals in developing individualized transition plans that lead to employment, post-secondary education and/or independent living options & opportunities.
5.4	The Council, in consultation with its federal partners, will increase identification, advocacy and/or sponsorship of legislative, regulatory, policy, procedure and/or practice changes to increase access to quality education services throughout the lifespan for people with I/DD.
<b>Objectives</b>	<p align="center"><b><u>Goal 6: Formal &amp; Informal Community Supports</u></b></p> <p>Californians with I/DD and their families, reflecting the diversity of the state, will have increased information and supports to access community-based services available to the general population.</p>
6.1	The Council, in collaboration with our federal DD partners, will reduce service access barriers and decrease the disparity in available information, which describes services and supports that may be purchased throughout California's Regional Center system, by translating and providing that information in Spanish and tracking statewide POS disparity data for Spanish-speaking self-advocates and families.
6.2	The Council will increase the knowledge and skills of people with I/DD to move from institutional to community settings and to increase their ability to self-advocate.
6.3	The Council will increase outreach, training, and technical assistance to improve the quality of and access to services, including (but not limited to) Regional Centers, education, transportation, public benefits, child care, and recreation for people with I/DD and their families.
6.4	The Council, in consultation with its federal partners, will increase identification, advocacy and/or sponsorship of legislative, regulatory, policy, procedure, and/or practice changes to increase access to quality community-based services for people with I/DD and their families.



Proposals must be submitted in accordance with these instructions, using the application forms available on SCDD's webpage, which is located at [www.scdd.ca.gov](http://www.scdd.ca.gov), or utilizing the hard copies attached to these instructions. Documents submitted with this application may be posted on the Council's website.

**Completed proposals must include the following elements:**

**1. Cover Letter (The cover letter to the proposal must be signed and include):**

- A one-paragraph description of the project
- Assurance that the proposer is financially capable of supporting the project until such time as invoices are submitted and reimbursement is received.
- The proposer must state the following: "We have carefully read and understand all the provisions in this RFP and agree to be bound by them. We have fully read and reviewed the terms and conditions as stated in the State Contracting Requirements, attached to the RFP, and, by submitting a proposal, understand that this proposal document represents the agreement that we will be expected to execute if we are successfully awarded a Cycle 41 Program Development Grant from the SCDD." No deviations or exceptions to this statement shall be accepted or permitted.

**2. Project Data Sheet (Form available online and attached to this RFP):**

**Proposer's Information**

- **Project Number** - Leave blank (assigned by SCDD)
- **Project Name** - Provide a short descriptive name for the proposed project (55-character limit)
- **Organization Name** - Proposer's legal name
- **Organization Website** - If applicable, provide the Proposer's website address
- **Organization Address** - Street and floor or suite number
- **Organization City/State** - City and State
- **Organization Zip Code** - Five or nine-digit zip code
- **Taxpayer ID Number** - Provide taxpayer identification number (TIN)
- **Project Period** - Month/Day/Year. Use numbers. (e.g. XX/XX/XXXX)

**Project Information**

- **Type of Proposer**: Select the type of Proposer from the pull down menu (i.e., Non-profit, School District, County, etc.) Select only one. Partnerships/collaborations must choose one organization as the primary proposer.

- **State Plan Goal(s)/Objective(s):** Enter which State Plan goals or objectives the project will address.

#### **Project Funding**

- **Total project costs:** Must equal the total of "SCDD grant funds," plus "proposer matching funds." The federal government is requiring matching funds on each grant awarded by SCDD. A match of 25% is required for Non-Poverty Areas and a 15% match is required for services that will be provided in Poverty Areas. The match may be in-kind funding. (See SCDD's publication "SCDD 2016 California Poverty Levels by County" – Exhibit 'A')
- **Indirect costs:** Cannot exceed 10% (see definition under "Allowable and Non-Allowable PDG Grant Costs.")

#### **Contact Information**

- List the appropriate individuals with whom the SCDD staff will communicate for the indicated purposes. Use the check box to auto-fill repetitive information for a contact. The auto-fill information can be overridden if necessary (i.e. email addresses).

#### **Signatory Authority**

- Identify the organization's Director (CEO or equivalent) who can legally enter into a contractual agreement on behalf of the Proposer.

### **3. Project Narrative (Form available online and attached to this RFP):**

The proposal must include a project narrative that includes the following sections and contents as described below. Do not exceed ten (10) pages. Be sure to address all the components below and those identified in the "Criteria for Proposal Evaluation" section of this RFP.

#### **Abstract**

- Provide a one-paragraph abstract that clearly states the project goal, the major activities/deliverables of the project, and the impact it will have on people with I/DD statewide.

#### **Qualifications**

- Describe your organization's qualifications to implement the proposed project, including your experience working with people with developmental disabilities.

#### **Collaboration**

- Identify any organizations that will be collaborating on the project, and provide a brief description of the respective roles. Collaborators shall submit letters of support for proposed project with original signature and must be dated.

### **Methodology**

- Provide a detailed narrative about the project, including information on the methodology to be used and an overview of project activities.
- Describe how (if applicable) the project is:
  - A new promising practice will be created
  - A promising practice will be improved
  - A promising practice will be supported
  - A best practice will be created
  - A best practice will be improved
  - A best practice will be supported
- Explain how the proposed project is regional. Regional impact may be described as outputs or outcomes that have an impact on the system (or subsystems) serving Californian's with I/DD; a new or innovative approach that has proven ability to be implemented statewide, or outputs or outcomes that the geographic region of the SCDD.
- Explain how the proposed project is consistent with the Council's mission "The Council advocates, promotes, and implements policies and practices that achieve self-determination, independence, productivity, and inclusion in all aspects of community life for Californians with developmental disabilities and their families"
- State who the target population is and why it is being targeted.
- Describe how the project benefits individuals from underserved communities and addresses cultural diversity.
- Specify if the project targets individuals in (a) federally identified poverty area(s). Please use the "SCDD 2016 California Poverty Levels by County" publication (Exhibit 'A').
- Describe how it benefits Californians with I /DD through systemic change at the regional level.
- Provide a brief description of project activities/deliverables for each staff and any subcontractors identified for the project.

### **Outcome Measures & Evaluation**

- Describe the major expected outputs/outcomes of the project, and how successful completion of the project will impact people with I/DD and/or systems serving people with I/DD. Please use the "SCDD Performance Measures C41 FINAL" publication (Exhibit 'B').
- Describe how you will evaluate the outcomes of the project.
- Specify the number of people to participate in or be served by this project and/or the products to be produced.
- Describe how activities will continue after the grant is completed.

- Provide a specific timeline and work plan for contract work to be performed, including benchmarks and estimated completion dates for benchmarks and final product(s).

#### **4. Budget Detail Worksheet (Form available online and attached to this RFP):**

Develop a line item budget for the project, using the Budget Detail Worksheet, which is included in this RFP. Include the names or position titles for each staff person to be paid from the project budget, as identified on the Organization Chart (see Item 5 below). Specify the total project costs for each line item, description of expenses, and the expenses charged to SCDD funds. Identify your organization's matching expenses under the Matching Funds column and identify the source of those funds.

#### **5. Required Attachments:**

##### **Proposal Checklist** (Form available online and attached to this RFP)

- Proposers must complete the attached Proposal Checklist to help ensure that all required items are included.

##### **Organizational Chart**

- Provide an organizational chart for the proposed project only, including sub-contractors where applicable. The organization chart must include a list of the names and position titles of the personnel staff and sub-contractors listed on the Budget Worksheet. The organizational chart does not need to include the entire agency or institution.

##### **Personnel Information**

- For each staff person employed by the project, including those identified on the Budget Detail Worksheet, provide Curricula Vitae/Resume, Duty Statement, and any applicable current Licenses and Credentials. If staff has not been hired, provide position descriptions. No substitutions will be allowed for any of the documents listed above.

##### **Previous Grants/Awards**

- List all grants/awards received from any entity during the last two years that benefit individuals with I/DD. Include the name of the project, the funding source, contact person, telephone number, and the amount of the grant/award.

##### **Three (3) Letters of Support**

- A minimum of three letters of support from three different entities is required. Proposers should obtain letters of support from any collaborators that will be



working on the project. Each letter must include the company/individual's name, address, and contact person, with the telephone number. At least one letter of support must be from an entity with recognized expertise in the area identified in the proposal. The letters should address (1) familiarity with the Proposer and (2) support for the project that is being proposed. Letters of support received from entities and/or individuals that will financially benefit from the funding of this project will not be counted toward the required three letters of support.

- Council members, including state department appointees and employees of the Council or Regional Offices, are ineligible to write letters of support.
- **Memorandum of Understanding or Letter of Commitment (if any)**
  - Should the success of a proposed project involve a formal agreement such as a Memorandum of Understanding (MOU) or a Letter of Commitment, a copy of such agreement must be submitted along with the proposal, signed by all parties having signatory authority.
- **Documentation of Proposer's Governing Board Approval (if required)**
  - Should a proposal require formal "Governing Board Approval", proof of such approval must be submitted along with the proposal.

## **PROGRAM EVALUATION AND SELECTION PROCESS**

### **Phase 1 – Administrative Review**

Proposals will be reviewed and evaluated for timeliness and completeness of RFP specifications. In this review stage, reviewers will compare the contents of each proposal to the Required Documents Checklist and ensure that the minimum qualifications are met. Proposals that do not contain all of the required items listed on the Required Documents Checklist will be rejected.

### **Phase 2 – Scoring Panel**

The Scoring Panel, established by the SCDD Executive Director, will review and score the proposals in accordance with the RFP scoring criteria. The Scoring Panel members are qualified individuals within the State Council on Developmental Disabilities who have knowledge and/or experience in services related to the SCDD Program Development Grant process.

### **Overall Proposal Evaluation**

Each eligible proposal will be scored as follows. A maximum of 100 points may be awarded by each member of the Scoring Panel.

**CRITERIA FOR PROPOSAL EVALUATION: Proposals should address each point below.**

**I. STATE PLAN (36 points maximum):**

- A. The degree to which the proposal advances the State Plan's Goal(s) and/or Objective(s). 0-12 points
- B. Measurable outcomes are clearly identified and specifically address the State Plan Goals(s) and/or Objectives as identified by this proposal. 0-12 points
- C. The degree to which the proposal addresses systemic change, information dissemination, and sustainability related to the State Plan Goal(s) and/or Objectives as identified by this proposal. 0-12 points

**II. METHODOLOGY (34 points maximum):**

- A. The proposal uses a sound methodology for achieving the stated outcomes statewide. 0-7 points.
- B. The target audience(s) is clearly delineated and is appropriate to the proposal. 0-6 points.
- C. The proposal outlines how it will address/impact underserved communities and cultural diversity. 0-7 points
- D. The proposal describes the types of deliverables to be provided. 0-7 points
- E. The proposal describes a sound programmatic procedure (with data collection, assessment and analysis) as part of its bi-monthly reporting process. 0-7 points

**III. ADMINISTRATION and BUDGET (30 points maximum):**

- A. The proposed budget is appropriate for accomplishing the identified objectives and contains all elements for the proposed project that are required by this RFP. 0-10 points
- B. The Proposer has demonstrated experience, knowledge, and potential to accomplish what is being proposed. 0-10 points
- C. The proposal supports/promotes new and/or innovative approaches to service delivery. 0-10 points

A minimum score of seventy-five percent (75%) in each of the three (3) Criteria Areas (State Plan, Methodology, Administration/Budget) is required to be considered for an award of a grant contract

Rounding of Decimal Point Scores: Decimal point scores shall be rounded up to the nearest whole number. (For example: 20.54 will be 21).

Tiebreaker: In the event there is a tie, the Scoring Panel will break the tie by awarding the contract to the proposal with the highest score in the State Plan category. If scores in that category are the same, the tie will be broken by the highest score in the

Methodology category. If those scores are the same the tie will be broken by the highest score in the Administration/Budget category.

## **ALLOWABLE AND NON-ALLOWABLE PDG GRANT COSTS**

The purpose of the PDG program is to provide resources necessary to initiate new services/supports that are creative, needed, and innovative for people with I/DD and their families. These funds may not be used to purchase goods or services, for which another funding source is available, or to supplant existing funding. Proposal budgets should include all necessary expenses for the Proposer to complete the project.

Each line item in the budget will be reviewed to determine whether it is allowable and reasonable. The Council reserves the right to request a revised budget.

The Federal Office of Management and Budget (OMB) has established uniform administrative requirements and cost principles for determining allowable costs chargeable to Federal awards. The Contractor agrees to abide by Title 2 of the Code of Federal Regulations, Part 200 (2 C.F.R. 200 et seq.), except where this Agreement is more restrictive. The federal regulations are available for review on the Internet at [www.ecfr.gov](http://www.ecfr.gov) under "Title 2-Grants and Agreements."

The following list contains some examples of allowable and non-allowable PDG contract expenditures:

1. Funds cannot be used to purchase real property.
2. Funds cannot be used to purchase childcare vouchers.
3. Funds may be used to modify facilities to meet fire and life safety requirements of the fire marshal and/or the licensing agency. The Proposer will be required to submit three bids for any facility
4. Rent for an office and/or facility is a reimbursable expense, as long as staff funded through the grant is working at or from the office/facility. The rent should not exceed the rental rates for an equivalent size facility in the geographical area.
5. Equipment may be leased; however, it may not be leased with an option to purchase. The contractor shall provide SCDD with copies of agreements for equipment leased during the contract period.
6. The following are examples of equipment that may not be purchased or purchased only with prior approval:
  - a. Motor vehicles may not be purchased.
  - b. Computers may only be purchased with prior approval from the SCDD.
  - c. Copy machines may not be purchased. However, they may be leased during the contract period.
  - d. Any equipment item that is attached to a facility or vehicle, which cannot be removed in usable condition from the facility or vehicle.

7. Funds cannot be used for modifications that are solely aesthetic in nature or are not necessary to meet fire and life safety requirements.
8. Any reimbursement for necessary travel expenses and per diem shall be at rates set in accordance with allowable state guidelines and per diem and mileage rates. Travel outside the State of California shall not be reimbursed. (Travel outside the SCDD's catchment area must be pre-approved by the SCDD, if reimbursement is requested).
9. Funds shall not be used to purchase food for participants at PDG-sponsored conferences, trainings, seminars, or workshops.
10. Costs related to disseminating information about project outcomes can only be included in the funding request if this expense is to be incurred during the term of the contract period.
11. No staff person can be committed to more than 100% of that person's time. SCDD reserves the right to verify and determine reasonableness of staff time committed to other jobs/projects.
12. Funds may be used to secure insurance coverage to assure that, prior to the contract approval, Contractor, other than a self-insured public entity, can furnish to the SCDD a Certificate(s) of Insurance stating that there is liability insurance presently in effect covering all of Contractor's activities under this contract, as appropriate, of not less than \$500,000 per occurrence.

As a general rule, it can be assumed that equipment with a value under \$500 will be amortized and no longer property of the State after three years. For purposes of PDG, equipment item costs must be considered in terms of the end usable product, e.g., a bed is considered the sum of the cost of the mattress, box springs, and frame. Proposers should contact the SCDD concerning items over \$500. All equipment will be inventoried and be issued a state identification tag identifying each as the property of the State until such time as it is released by the State.

PDG grants may not include indirect costs that exceed 10% of the grant total, as defined below:

**Direct costs** are those that are specifically spent to carry out the grant, such as compensation of employees for the time devoted and identified specifically to the performance of the grant; cost of materials acquired, consumed, or expended specifically for the purpose of the grant; and travel expenses incurred specifically to carry out the grant contract.

**Indirect costs** are items associated with general infrastructure support, such as general administration, facilities, equipment, operations, office supplies, and maintenance.



## **PDG PROPOSAL REQUIREMENTS AND TIMELINE**

### **QUESTIONS**

In the opinion of the SCDD, this RFP is complete and without need of explanation. **However, if you have questions regarding this RFP, they must be submitted in writing via email to the Contract Analyst listed on the cover page.** All bidders will be afforded the opportunity to participate in a non-mandatory live web-based pre-bidders conference prior to February 9, 2017. Information about the pre-bidders conference will be posted to SCDD's website. All questions must be received by the Question Submission Deadline listed in the Timelines on page 5. All questions and responses will be posted in the form of an addendum on the Cal eProcure website and on SCDD's website [www.scdd.ca.gov](http://www.scdd.ca.gov) by the date listed in the Timelines. **Questions will not be answered over the telephone.**

### **REQUIREMENTS**

1. Proposals must advance at least one (1) 2017-2021 State Plan Goal and/or Objective.
2. Proposals must include measurable, identifiable outcomes.
3. The application must be complete and meet all of the requirements set forth in this RFP. However, an entire proposal may be withdrawn and the Proposer may resubmit a new proposal prior to Proposal Due Date. Proposal modifications offered in any other manner, oral or written, will not be considered.
4. A proposal will be rejected if it is conditional or incomplete at the submission deadline or if it deviates from the required format and content or contains other irregularities of any kind. SCDD may reject any or all proposals and may waive any immaterial deviation in a proposal. SCDD's waiver of immaterial deviation shall in no way modify the RFP or excuse the proposer from full compliance with all requirements.
5. Proposers are responsible for providing accurate, current, and complete information about their organization and proposed project.
6. Timelines

Pre-Bidders Conference	to be scheduled prior to February 9, 2018
Questions accepted ongoing until	February 9, 2018
Answers will be posted on SCDD website ongoing until	February 23, 2018
Application Deadline	March 6, 2018
Public Notice of Grant(s) Awarded	May 16, 2018
Protest Period	May 16-25, 2018
Award Notification*	May 29, 2018

Anticipated Funding of Approved Proposals  
Completion of Project  
*\*Pending successful completion of the protest period*

October 1, 2018  
September 30, 2019

7. **The RFP Packets, must be received by 5:00 p.m. on March 6, 2018 at:**  
**State Council on Developmental Disabilities**  
**1507 21st Street, Suite 210**  
**Sacramento, CA 95811**  
**Attention: Kristie Allensworth**
8. Proposers shall submit (four) 4 RFP packets; one (1) original and three (3) copies. Do not staple or paper clip any portion of the RFP packets; use only binder clips. Do not use three-hole punch paper. Do not submit the RFP using binders or folders.
9. Proposers shall prepare the RFP using only Arial 14 font, black with 1" margins.
10. All documents contained in the original proposal package must have original signatures and must be signed by a person who is authorized to legally bind the proposing firm. All additional proposal sets may contain photocopies of the original package.
11. Any proposals received after March 6, 2018, regardless of the postmarked date, will be returned to the Proposer and will not proceed through the evaluation process.
12. Faxed or e-mailed application materials will not be accepted. SCDD does not accept faxing or e-mailing of any documents pertaining to the completed application.
13. All decisions regarding proposals that are ultimately funded are the responsibility and sole discretion of the SCDD. Therefore, submission of all required documentation must be submitted and completed in the manner outlined in this RFP.
14. SCDD reserves the right to amend the RFP guidelines by addendum, but no later than ten days prior to the submission deadline date. Any such addendum will be posted on the SCDD website and notice will be issued via email from the SCDD Contract Analyst to all parties known by SCDD to have requested a proposal package or submitted a proposal through the date of the addendum.
15. The final decision to award a grant or grants rests with the State Council on Developmental Disabilities and is contingent upon final funding approval by the Council.
16. SCDD reserves the right to reject all proposals. The agency is not required to award a grant.

17. After the proposal scoring process all documents will be available for public inspection in accordance with Public Contract Code and Public Records Act rules. Any language purporting to render all or any portion of the proposals confidential shall be regarded as non-effective, and the proposal containing the language will be rejected.
18. SCDD staff will not provide written or oral debriefings to unsuccessful Proposers.
19. If the proposal is made under a fictitious name or business title, the actual legal name of Proposer must be provided.
20. Costs incurred for developing proposals and in anticipation of award of agreement contract are entirely the responsibility of the Proposer and shall not be charged to the State of California.
21. All proposals are to be complete when submitted. However, an entire proposal may be withdrawn and the Proposer may resubmit a new proposal prior to Proposal Due Date. Proposal modifications offered in any other manner, oral or written, will not be considered.
22. Before submitting a proposal, proposers should review, correct all errors, and confirm compliance with the RFP requirements.
23. Where applicable, proposer should carefully examine work sites and specifications. No additions or increases to the agreement amount will be made due to a lack of careful examination of work sites and specifications. All service settings must be inclusive integrated settings.
24. SCDD does not accept alternate contract language from a prospective contractor. A proposal with such language will be considered a counter proposal and will be rejected. The State's General Terms and Conditions (GTC) are not negotiable and all state contracting rules are to be followed.

Note that all Agreements entered into with the State of California will include by reference General Terms and Conditions (GTC 610) that may be viewed and downloaded at Internet site [www.documents.dgs.ca.gov/ols/GTC-610.doc](http://www.documents.dgs.ca.gov/ols/GTC-610.doc).

25. All grantees must comply with §124(c)(5) of the federal Developmental Disabilities Assistance and Bill of Rights Act of 2000 (42 USC 15024; PL 106-402).
26. Any change by a grantee in key personnel who have been listed in a proposal must have prior approval of the SCDD.

## **FUNDING OF PROJECTS**

Funding of projects is contingent on availability of federal funds and approval by the Council. After the announcement of a grant award, changes in the level of federal allocation to California could result in the reduction of funds or withdrawal of some or all funded proposals.

The Council assumes no responsibility for costs incurred by the Proposer for the development or submission of a proposal.

The Council may reduce the level of funding requested in a proposal. If the requested amount proposed will be reduced, the Proposer(s) will be asked if they want to proceed with the process. If the Proposer wishes to proceed, submission of a revised budget will be required with the revised funding request.

Successful Proposers will submit all invoices in arrears. Proposers must be financially capable of supporting the project until such time as invoices are submitted and reimbursement is received.

Successful Proposers must complete bi-monthly (every other month) reporting and invoice packets which must contain receipts for each expense/line item claimed, which includes but is not limited to: records of salaries paid, travel, conference fees, and hotel accommodations, as well as proof of overhead costs and indirect expenses. Reimbursement of expenses will only be made for expenses associated with a line item of the approved budget and which have the proper supporting documentation.

Successful Proposers shall request in writing to SCDD all proposed transfers between individual line items and additions or deletions of line items. Such requests shall contain an explanation of the need for the change, identification of the line items to be changed, and a revised Budget. Any changes cannot be made prior to SCDD's written approval. SCDD reserves the right to deny any request for line item transfers, additions or deletions. The Contractor understands that in no event shall the maximum amount payable exceed the maximum amount specified in this contract.

Once the program element of the contract is approved by the SCDD, any budget change request that would change the program element will not be approved.

## **NOTICE OF INTENT TO AWARD CONTRACTS AND PROTESTS**

SCDD staff scoring and recommendations for grant awards will be presented to the State Plan Committee (SPC) for consideration at its May 2018 meeting. A final decision to fund



each grant will be made by the multi-member governing body of the State Council on Developmental Disabilities (SCDD) at its April 2018 meeting.

A written protest may be filed with the Chair of the SCDD during the period May 16-25, 2018. The protest letter must be received at the below address before 5:00 p.m. on May 25, 2018:

State Council on Developmental Disabilities  
1507 21<sup>st</sup> Street, Suite 210  
Sacramento, CA 95811  
Attention: Aaron Carruthers

The written protest must outline specifically what the Proposer is protesting and why the protest is being filed. Protests are limited to those instances where the SCDD did not follow the guidelines for accepting and evaluating the proposal. The decision of the SCDD Chairperson shall be final.

Pending successful completing of the protest period, a "Notice of Intent to Award Contract" will be posted May 29, 2018 at [www.scdd.ca.gov](http://www.scdd.ca.gov) and at the local regional office..

## **OTHER TERMS AND CONDITIONS**

### **TERMS**

The term of this agreement will be from October 1, 2018, through September 30, 2019. The State Council on Developmental Disabilities reserves the right to extend the contract term for one-year. The State Council on Developmental Disabilities shall endeavor to give notice of its intention to extend the contract term at least sixty (60) days before expiration of the contract term.

### **Patents and Copyrights:**

A Proposer awarded a grant (hereinafter "Contractor") agrees that any and all products or any other object or deliverable produced under this contract are the property of SCDD. Reproduction of these products, objects, or deliverables cannot be made without the express written approval of SCDD. Credit for these deliverables will be acknowledged as follows:

"This product was made possible by funding from the California State Council on Developmental Disabilities awarded to (insert provider's name) © California State Council on Developmental Disabilities. All Rights Reserved." Anything produced pursuant to this contract that may be patented or copyrighted is the sole property of SCDD, whether or not a patent or copyright is applied for or received by any other party or person.

### **Termination of Contract**

The contract may be terminated with or/without cause by SCDD or the Contractor, upon providing a 30-day written notice to the other party. If the contract is terminated prior to completion, any/all equipment purchased through this contract will be returned to SCDD.

### **Subcontractors**

If Contractor proposes to subcontract any services required under this contract, the Contractor shall submit any such proposal/MOU/contracts to the Contract Manager for review and written approval prior to initiation of the work by the subcontractor. Notwithstanding any subcontracting permitted by SCDD, the Contractor shall be solely liable for any failure of performance required by this contract. All subcontractors shall be required by the Contractor to meet or exceed any and all provisions of this contract.

### **Insurance Requirements**

Prior to the contract approval, the Contractor, other than a self-insured public entity, shall furnish to SCDD, Certificate(s) of Insurance stating that there is liability insurance presently in effect covering all of contract's activities under this contract, as appropriate, of not less than \$500,000 per occurrence.

The Certificate of Insurance will provide that:

The insurer will not cancel the insured's coverage without a thirty-day (30) prior written notice to SCDD. SCDD, the Federal Administration on Intellectual and Developmental Disabilities, its officers, employees, and agents are included as additionally named insurers, but only insofar as the operations under this contract are concerned.

The Contractor agrees that the liability insurance herein provided for shall be in effect at all times during the term of this contract. In the event said insurance coverage expires at any time or times during the term of this contract, the Contractor agrees to provide at least thirty (30) days prior to said expiration date a new Certificate of Insurance evidencing insurance coverage as provided herein for not less than one (1) year. In the event the contractor fails to keep insurance coverage in effect at all times as herein provided, SCDD may, in addition to any other remedies it may have, terminate this contract upon the occurrence of such event.

The Contractor expressly agrees that it shall carry all other forms of insurance as appropriate to its operations or as required by law, such as, but not limited to Workers' Compensation Insurance.

### **Reporting Requirements**

The Contractor shall agree to the following reporting requirements:

1. Submission of written bi-monthly (every other month) progress reports. These reports shall include, but not be limited to: whether the project is on schedule, addressing issues related to project operations and supervision, and identifying opportunities for airing difficulties or specific problems, so that remedies can be developed quickly. SCDD reserves the right to withhold payment on invoices submitted until an acceptable report is received;
2. Invoices submitted for payment must be accompanied by the bi-monthly and final report. Supporting documents for all expenses claimed must be enclosed with each billing including, but not limited to: receipts for any purchase made, travel claims, and payroll reports;
3. Submission of a written, final report in a format and manner prescribed by SCDD, within 30 days after contract completion or termination. This final report shall include, but not be limited to, an electronic copy and a camera-ready or master copy of any materials developed in the performance of this contract. The final report shall be comprehensive and include problems and solutions encountered during the contract term and submission of other reports as may be required by SCDD.

### **Project Change**

Contractor shall immediately notify SCDD when any part of the contract becomes inoperative or requires change(s). Contractor may submit a written request to SCDD for any change(s) in the project, but shall not implement any changes prior to written SCDD approval, in accordance with this contract, state laws, federal laws, policies, and procedures, including the approval of the Department of General Services, if required. Such a request shall include, but not be limited to, a complete justification and description of how the change(s) will affect the program as outlined in the contract and the intended outcomes. SCDD reserves the right to deny any such request for change(s). Under no circumstances can the budget changes exceed the total amount of the contract authorized by SCDD.

### **Project Evaluation**

Evaluation of the project shall be in accordance with procedures established by SCDD.

### **Software Certification**

If applicable, Contractor certifies that it has appropriate systems and controls in place to ensure that state funds will not be used in the performance of this contract for the acquisition, operation, or maintenance of computer software, in violation of copyright laws.

### **Contractor Evaluations (PCC 10367)**

Each contractor will have their performance evaluated. This evaluation will be conducted within 60 days of the completion of the contract.

## **RESTRICTIONS ON OUTSIDE EMPLOYMENT OF STATE EMPLOYEES**

### **Current State Employees**

No officer or employee in state civil service or other appointed state official shall engage in any employment, activity, or enterprise from which the officer or employee receives compensation or in which the officer or employee has a financial interest and which is sponsored and/or funded by any state agency or department through or by a state contract unless the employment, activity, or enterprise is required as a condition of the officer's or employee's regular state employment. No officer or employee in the state civil service shall contract on his or her own individual behalf as an independent contractor with any state agency to provide services or goods. (Public Contract Code §10411)

### **Former State Employees**

No retired, dismissed, separated, or formerly employed person of any state agency or department employed under the state civil service or otherwise appointed to serve in state government may enter into a contract in which he or she is engaged in any of the negotiations, transactions, planning, arrangements, or any part of decision-making relevant to the contract while employed in any capacity by any state agency or department. The prohibition of this subdivision shall apply to a person only during the two-year period beginning on the date the person left state employment.

For a period of 12 months following the date of his or her retirement, dismissal, or separation from state service, no person employed under state civil service or otherwise appointed to serve in state government may enter into a contract with any state agency, if he or she was employed by that state agency in a policy-making position in the same general subject area as the proposed contract within the 12-month period prior to his or her retirement, dismissal, or separation.

The prohibition of this subdivision shall not apply to a contract requiring the person's services as an expert witness in a civil case or to a contract for the continuation of an attorney's services on a matter he or she was involved with prior to leaving state service. (Public Contract Code § 10411)

**Conflict with Present State Employees**

A state officer or employee shall not engage in any employment, activity, or enterprise which is clearly inconsistent, incompatible, or in conflict with, or inimical to his or her duties as a state officer or employee. (Government Code § 19990)



## AIDD DD Council Performance Measures – June 2016

### INDIVIDUAL and FAMILY ADVOCACY ANNUAL PERFORMANCE MEASURES

#### IFA 1: Output Measures<sup>1</sup>

IFA 1.1	The number of <b>people with developmental disabilities</b> who participated in Council supported activities designed to increase their knowledge of how to take part in decisions that affect their lives, the lives of others, and/or systems
IFA 1.2	The number of <b>family members</b> who participated in Council supported in activities designed to increase their knowledge of how to take part in decisions that affect the family, the lives of others, and/or systems

#### IFA 2: Outcome Measures<sup>2</sup>

IFA 2.1	After participation in Council supported activities, the percent of <b>people with developmental disabilities</b> who report increasing their advocacy as a result of Council work.
IFA 2.2	After participation in Council supported activities, the percent of <b>family members</b> who report increasing their advocacy as a result of Council work.

#### IFA 2: Sub-outcome measures:

<b>IFA 2</b>	<b>Individual and Family Advocacy Sub-outcome Measures</b>
<b>IFA 2.2.1</b>	The percent of people who are better able to say what they want or say what services and supports they want or say what is important to them
<b>IFA 2.2.2</b>	The percent of people who are participating now in advocacy activities
<b>IFA 2.2.3</b>	The percent of people who are on cross disability coalitions, policy boards, advisory boards, governing bodies and/or serving in leadership positions.

<b>IFA 3</b>	<b>The percent of people satisfied with a project activity</b>
<b>IFA 3.1</b>	The percent of people with developmental disabilities satisfied with a project activity
<b>IFA 3.2</b>	The percent of family members satisfied with a project activity.

<sup>1</sup> \*\*These two measures could be combined to report on the total number of participants but still collected by individuals with developmental disabilities and family members\*\*

<sup>2</sup> \*\*These two measures could be combined to report on the total number of participants increasing advocacy but still collected by individuals with developmental disabilities and family members\*\*

## **SYSTEMS CHANGE ANNUAL PERFORMANCE MEASURES**

<b>SC 1: Output Measure</b>
The number of Council <b>efforts</b> to transform fragmented <b>approaches</b> into a coordinated and effective system that assures individuals with developmental disabilities and their families participate in the design of and have access to needed community services, individualized supports, and other forms of assistance that promote self-determination, independence, productivity, and integration and inclusion in all facets of community life.
<p><b>Notes:</b></p> <ul style="list-style-type: none"> <li>Output measures are numbers that reflect Council efforts. Data could include staff member efforts (activities) as well as sub-grantee efforts.</li> <li>Systems change <b>efforts</b> are intended to be viewed as a continuum and could reflect community systems, statewide systems or one agency; systems from small to most broad.</li> </ul>

### **SC Sub-output measures**

<b>SC 1.1 Policy and/or procedure changes</b>
<i>Note: changes could include items created</i>
<b>SC 1.1.1</b> The number of policy and/or procedures created or changed.
<i>Note: Data could include items drafted</i>
<b>Definitions:</b>
<b>Policy:</b> A statement of how an organization or entity intends to conduct its services, actions, or business. Policies provide a set of guiding principles to help with decision making.
<b>Procedure:</b> A description of how each policy will be put into action. Procedures often outline who will do what; what steps will be taken, and which forms to use.
<b>Policy and/or procedure change:</b> A policy and/or procedure change reflects a course of action that has the potential to create or improve policies and/or procedures regarding services and supports that promote self-determination, independence, productivity, and integration and inclusion in all facets of community life.
<b>Change:</b> The act of making or becoming different
<b>Created:</b> To cause to come into being.

<b>SC 1.2 Statute or regulation changes</b>
<i>Note: changes could include items created</i>
<b>SC 1.2.1</b> The number of statute and/or regulations created or changed
<i>Note: Data could include items drafted</i>
<b>Definitions:</b>
<b>Statute:</b> A law or other enactment made by a legislature and expressed in a formal document.
<b>Regulation:</b> A rule or administrative code issued by governmental agencies at all levels, municipal, county, state, and federal. Regulations are not laws, but have the force of law since they are adopted under authority granted by statutes.
<b>Statute and/or regulation change:</b> A law and/or rule or administrative code that has the potential to improve laws, rules, or administrative codes regarding services, supports, and other assistance that promote self-determination, independence, productivity, and integration and inclusion in all facets of community life.
<b>Change:</b> The act of making or becoming different
<b>Created:</b> To cause to come into being.

<b>SC 1.3</b>	<b>Promising and/or best practices</b>
<b>SC 1.3.1</b>	The number of promising practices created
<b>SC 1.3.2</b>	The number of promising practices supported through Council activities
<b>SC 1.3.3</b>	The number of best practices created
<b>SC 1.3.4</b>	The number of best practices supported through Council activities
<b>Definitions:</b>	
<i>Promising Practice:</i> a practice with an innovative approach that improves upon existing practice and positively impacts the area of practice. The practice should demonstrate a high degree of success and the possibility of replication in other agencies or settings, but has not been tested.	
<i>Best Practice:</i> A technique or methodology that, through experience and research, has proven to reliably lead to a desired result.	
<i>Created:</i> To cause to come into being.	
<i>Supported:</i> Activities funded by the Council as based on the State Plan; Activities planned and funded by the Council as based on the State Plan.	

<b>SC 1.4</b>	<b>Training/Education</b>
<b>SC 1.4.1</b>	The number of people trained or educated through Council systemic change initiatives
<b>Definition:</b>	
<i>Trained, or educated:</i> Training is an organized activity designed to give information and/or instructions to improve performance or help attain knowledge or skill; educated means to give information about something. This number would not include general public education (web-site hits, newspaper, social media, etc.)	
<i>Note: This number would reflect "others trained/educated"; it would not include people with DD or family member of people with DD – these numbers would be reported under IFA 1.1 and 1.2</i>	

<b>SC 1.5</b>	<b>Collaboration</b>
<b>SC 1.5.1</b>	The number of Council supported systems change activities with organizations actively involved.

## SC 2: Outcome Measures

<b>SC 2.1</b>	The number of Council efforts <i>that led to the improvement of best or promising practices, policies, procedures, statute or regulation changes.</i> (sub-measures 2.1.1; 2.1.3)
<b>Note:</b> 2.1 outcomes would be considered short-term or immediate.	
<b>SC 2.2</b>	The number of Council efforts <i>that were implemented</i> to transform fragmented approaches into a coordinated and effective system that assures individuals with developmental disabilities and their families participate in the design of and have access to needed community services, individualized supports, and other forms of assistance that promote self-determination, independence, productivity, and integration and inclusion in all facets of community life. (sub-measures 2.1.2; 2.1.4)
<b>Note:</b> 2.2 outcomes would be considered intermediate or long-term; a demonstration of what the Council has been working on that has been transformed (result of experience).	



### Sub-outcome measures

SC 2	Sub-outcome Measures
SC 2.1.1	The number of policy, procedure, statute, or regulation changes <b>improved</b> as a result of systems change.
<i>Note: Data could include statewide changes and local or organizational level changes. Improvement could be a result of the creation of, or a change to, a policy, procedure, statute, or regulation.</i>	
SC 2.1.2	The number of policy, procedure, statute, or regulation changes <b>implemented</b>
SC 2.1.3	The number of promising and/or best practices <b>improved</b> as a result of systems change activities
SC 2.1.4	The number of promising and/or best practices that were <b>implemented</b>
Definitions	
<i>Change:</i> The act of making or becoming different	
<i>Created:</i> To cause to come into being.	
<i>Implemented:</i> To put into effect, put into action, put into practice, carry out, enact.	
<i>Improved:</i> To make or become better, to raise to a more desirable condition, or quality.	



## CALIFORNIA POVERTY LEVELS BY COUNTY

A "poverty area" is typically defined when 20% or more of the population lives below poverty level. See

<https://www.census.gov/population/socdemo/statbriefs/povarea.html>

California Counties	Percent below poverty level
Alameda County, California	12
Alpine County, California	18.9
Amador County, California	11.2
Butte County, California	21.3
Calaveras County, California	12.7
Colusa County, California	13.5
Contra Costa County, California	10.2
Del Norte County, California	21.7
El Dorado County, California	9.8
Fresno County, California	26.9
Glenn County, California	20.3
Humboldt County, California	21
Imperial County, California	24.1
Inyo County, California	10.8
Kern County, California	23.1
Kings County, California	21.6
Lake County, California	24.6
Lassen County, California	16.2
Los Angeles County, California	17.8
Madera County, California	22.1
Marin County, California	8.1
Mariposa County, California	16.3
Mendocino County, California	20.2
Merced County, California	24.2
Modoc County, California	16.9
Mono County, California	8.8
Monterey County, California	16.1



Napa County, California	8.8
Nevada County, California	12.1
Orange County, California	12.5
Placer County, California	8.7
Plumas County, California	12.8
Riverside County, California	16.5
Sacramento County, California	17.9
San Benito County, California	10.8
San Bernardino County, California	19.1
San Diego County, California	14
San Francisco County, California	12.5
San Joaquin County, California	17.8
San Luis Obispo County, California	14.2
San Mateo County, California	7.7
Santa Barbara County, California	15.9
Santa Clara County, California	9.3
Santa Cruz County, California	15.1
Shasta County, California	17.5
Sierra County, California	11.3
Siskiyou County, California	22
Solano County, California	12.7
Sonoma County, California	11.2
Stanislaus County, California	18.2
Sutter County, California	17.5
Tehama County, California	21.5
Trinity County, California	20.1
Tulare County, California	28.3
Tuolumne County, California	14.2
Ventura County, California	10.6
Yolo County, California	19.3
Yuba County, California	20.8

[https://factfinder.census.gov/faces/tableservices/jsf/pages/productview.xhtml?pid=ACS\\_16\\_5YR\\_S1701&prodType=table](https://factfinder.census.gov/faces/tableservices/jsf/pages/productview.xhtml?pid=ACS_16_5YR_S1701&prodType=table)



### **Grant Process Outline for Cycle 41**

Request for Proposal (RFP) Announcement on **January 19, 2018**

- Disseminated in all formats: mail, post to website, email and enter into FISCal (state procurement website)
- SCDD Staff to provide a non-mandatory “Pre-Bidders” Video/Call by **February 09, 2018**
- Submission: Request for Proposals due **March 06, 2018**
  - Submit proposal via mail or hand delivered (must be postmarked by closing date)
- Technical and Committee Review
  - Staff performs Administrative Reviews by **March 20, 2018**
  - Scoring Panel (selected by SCDD Executive Director) reviews proposals and sends recommendations to Deputy Director of Regional Office Operations by **April 06, 2018**
  - State Plan Committee reviews recommendations by **April 17, 2018**
  - State Plan Committee sends their recommendations to the Council for approval or declination at the **May 15, 2018** Council meeting.
- Public Notice on **May 16, 2018**
  - Posting of selected grantees will be posted on the State Council’s website
  - A hard copy of selected grantees will be posted in the Regional Office
- Protest Period begins on **May 16 2018**
  - A 10 day protest period is allowed. No action will be taken during this time unless a protest is received.
- Notification Letters sent on **May 29, 2018**
  - Notification letter will be sent to all applicants

## Program Development Grant Cycle 41

- Encumbrance Process:
  - Staff works with grantee to receive all required documents  
**June 01, 2018 to July 31, 2018**
  - Staff sends approved contract to Department of Social Services for encumbrance by **August 01, 2018**
  - Staff sends encumbered grant to Department of General Services for approval (if required) by **September 01, 2018**
  - Staff sends grantee reporting and invoicing templates
- Grant in Process:
  - Regional Office staff will keep in contact with grantee to ensure work is being completed on schedule throughout the duration of the contract and help resolve any issues if necessary
- Billing procedures
  - Grantee must send original invoice, year-to-date financial report and quarterly progress report to Regional Office (all originals must be signed in blue ink)
  - Regional Office must send original invoices, year-to-date financial report and quarterly progress reports to headquarter analyst for final processing
- End of contract exiting evaluation
  - Grantee must submit final report and billing

**Anticipated Grant Start date: October 1, 2018**

**Grants will end on September 30, 2019**



# PROPOSAL EVALUATION SCORING SHEET

Application No.: \_\_\_\_\_ Reviewer: \_\_\_\_\_

Item/Criteria	Points	Score
<b>STATE PLAN: (36 points maximum)</b>		
The degree to which the proposal advances the State Plan's Goal(s) and/or Objectives.	0-12	
Measurable outcomes are clearly identified and specifically address the State Plan Goals(s) and/or Objectives as identified by this proposal.	0-12	
The degree to which the proposal addresses system change and information dissemination and sustainability related to the State Plan Goal(s) and/or Objectives as identified by this proposal.	0-12	
<b>METHODOLOGY: (34 points maximum)</b>		
The proposal uses a <u>sound methodology</u> for <u>achieving</u> the stated outcomes.	0-7	
The <u>target audience(s)</u> is clearly delineated and is appropriate to the proposal.	0-6	
The proposal outlines <u>how</u> it will address/impact underserved communities and cultural diversity.	0-7	
The proposal <u>describes</u> the types of deliverables to be provided.	0-7	
The proposal <u>describes</u> a sound programmatic procedure (with data collection and assessment analysis) as part of its bi-monthly reporting process.	0-7	

<b>ADMINISTRATION/BUDGET: (30 points maximum)</b>		
The proposed budget is appropriate for accomplishing the identified objectives and contains all elements for the proposed project that are required by this RFP.	0-10	
The applicant has <u>demonstrated</u> experience, knowledge, and potential to accomplish what is being proposed.	0-10	
The proposal <u>supports/promotes new and/or innovative approaches</u> to service delivery.	0-10	
<b>TOTAL SCORE:</b>	0-100	

A minimum score of seventy-five percent (75%) in each of the three (3) Criteria Areas (State Plan, Methodology and Administration/Budget) is required to be considered for an award of a contract.



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# **CONFLICT OF INTEREST WAIVER REQUESTS**

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## **COUNCIL AGENDA ITEM DETAIL SHEET**

**ISSUE:** Regional Center Conflict of Interest (COI)

**SUMMARY:** Amendments to the Lanterman Act made by AB 1595 resulted in redefining the Area Boards into Regional Advisory Committees, changing their appointment authority and scope. Under its current process, the State Council on Developmental Disabilities (Council) is presented with a recommendation on the below conflict of interest resolution plan.

**BACKGROUND:** The Lanterman Act requires regional centers to submit conflict of interest statements and proposed resolution plans to the Department of Developmental Services (DDS) and the Council. (W&I Code 4626(l).) Under the Act, as amended by AB 1595, the Director of DDS may waive conflict of interest requirements of a contracting agency (i.e., a regional center) with approval of the State Council. (See W&I Code 4628.)

The Council is being presented with information reviewed under the existing SCDD criteria and process approved by the Council. This approach provides for staff analysis of regional center conflict of interest issues.

**FACTS - FNRC Board Member Suzette Serrano:** Suzette Serrano is a member of the Far Northern Regional Center (FNRC) board. She works part-time for We Care A Lot Foundation and ARC of Butte County, both regional center employment providers. Ms. Serrano is a FNRC consumer, and her employment with these organizations is part of the employment services she receives through FNRC.

FNRC has a public member recruitment and appointment process which is subject to public review and engagement. The regional center has nineteen people on its Board of Directors. Ten members are appointed by the County Board of Supervisors after recommendations from community groups. One member is appointed by the People First groups in the region, and one is a representative elected by the Service Provider Advisory Committee. Five members are considered "Members at Large" and are appointed by the Board after review by the Board's Membership Committee. These positions are used to meet Welfare and Institutions Code (W&I Code) board composition requirements.

Ms. Serrano has not previously requested a waiver.

## **DISCUSSION:**

**Conflict of Interest:** DDS Regulation 54520 provides, in part, that a conflict of interest exists when the board member, or a family member of a regional center board member, holds any of the below positions for a provider:

- (1) a governing board member;
  - (2) a board committee member;
  - (3) a director;
  - (4) an officer;
  - (5) an owner;
  - (6) a partner;
  - (7) a shareholder;
  - (8) a trustee;
  - (9) an agent;
  - (10) an employee;
  - (11) a contractor;
  - (12) a consultant;
  - (13) a person who holds any position of management; or
  - (14) a person who has decision or policy making authority.
- (See 17 CCR 54520(a).)

With regard to her employment with We Care A Lot Foundation and ARC of Butte County, Ms. Serrano has a conflict of interest. (See Regulation 54520(a)(10).) She therefore submits the following Conflict of Interest Resolution Plan:

1. As a member of FNRC's Board of Directors, Ms. Serrano will not make any recommendation, participate in any discussion or vote on any contract regarding ARC of Butte County or We Care A Lot Foundation.
2. Should these issues arise during the course of a FNRC Board of Directors' meeting, Ms. Serrano will excuse herself from the room.
3. Ms. Serrano will not access any files kept by FNRC relating to ARC of Butte County or We Care A Lot Foundation.



4. Ms. Serrano will not participate individually, or as part of a group, in the preparation, presentation, formulation or approval of plans, policies, analyses, or recommendations pertaining to ARC of Butte County or We Care A Lot Foundation.

**W&I Code Section 4622 Requirements:** In addition to the requirements of Regulation 54520, Welfare and Institutions Code Section 4622(k) says that a member of a board who is also an employee of a regional center provider shall not:

- (1) Serve as an officer of the board;
- (2) Vote on any fiscal matter affecting the purchase of services from any regional center provider;
- (3) Vote on any issue in which the member has a financial interest under Government Code Section 87103 and determined by the regional center board.

Since the both of Ms. Serrano's employers are FNRC providers, any acceptable Resolution Plan must also comply with Section 4622's requirements.

The staff recommendation is to approve Ms. Serrano's waiver request, provided she does not participate in any decision that impacts her employers and also complies with the requirements of W&I Code Section 4622(k), since the proposed plan otherwise mitigates the opportunity for a resulting conflict of interest.

**COUNCIL STRATEGIC PLAN OBJECTIVE:** None

**PRIOR COUNCIL ACTIVITY:** N/A

**STAFF RECOMMENDATION:** The staff recommendation is to approve Ms. Serrano's waiver request provided she does not participate in any decision that impacts her employers and also complies with requirements of W&I Code Section 4622(k).

**ATTACHMENT:** Serrano COI reporting statement and resolution plan.

**PREPARED BY:** Legal Counsel Natalie Bocanegra, December 20, 2017.



## Far Northern Regional Center

Providing services and supports that allow persons with developmental disabilities to live productive and valued lives

Laura Larson  
Executive Director



**November 9, 2017**

**State Council on Developmental Disabilities  
1507 21st Street, Suite 210  
Sacramento, CA 95811**

**Attention: Aaron Carruthers, Executive Director**

**Re: Conflict of Interest, FNCC Board Member, Suzette Serrano**

**Dear Mr. Carruthers:**

**Enclosed, please find the following documents regarding the potential Conflict of Interest of FNRC/FNCC Board Member, Adam Beals:**

- Request for Waiver of Potential Conflict of Interest
- Proposed Conflict of Interest Resolution Plan
- Conflict of Interest Report Statement

**These documents have been sent to the Department of Developmental Services for review.**

**Thank you for your consideration in this matter.**

**Sincerely,**

  
**Cynthia Presidio  
Executive Assistant**

**Enclosures**

**cc: Allan Smith, Department of Developmental Services  
FNCC Executive Committee  
Suzette Serrano**

[www.farnorthernrc.org](http://www.farnorthernrc.org)



## Far Northern Regional Center

Providing services and supports that allow persons with developmental disabilities to live productive and valued lives

Laura Larson  
Executive Director

October 31, 2017

Allan Smith  
Regional Center Operations Section  
Department of Developmental Services  
1600 Ninth Street, Room 320 (MS 3-9)  
Sacramento, CA 95814

Re: Request for Waiver of Potential Conflict of Interest –  
FNCC Board Member Suzette Serrano

Dear Mr. Smith:

FNCC Board member Suzette Serrano has disclosed a potential conflict of interest under California Code of Regulations, Title 7, sections 54500, *et seq.* He is requesting a conflict waiver.

Ms. Serrano serves on the Board of Directors as a consumer representative as a Member-at-Large. In her annual Conflict of Interest Reporting Statement for 2017-18, she disclosed that she works for We Care A Lot Foundation three times per week, with varying hours.

Under Welfare and Institutions Code section 4626(c): "A person with a developmental disability who receives employment services through a regional center provider shall not be precluded from serving on the governing board of a regional center based solely upon receipt of these employment services." Aside from her employment with We Care A Lot Foundation, Ms. Serrano has not disclosed any other potential conflict.

As a FNCC Board member, Suzette Serrano has not had the opportunity or authority to approve any contract with We Care A Lot Foundation. However, in light of the potential conflict of interest raised by her employment, Ms. Serrano has prepared a plan to avoid or mitigate an actual conflict of interest. (See proposed conflict resolution plan, attached).

The Board Chairperson, with support from the remaining Board members, will be responsible for ensuring that the conditions stated in the plan are applied.

[www.farnorthernrc.org](http://www.farnorthernrc.org)

☐ REDDING MAIN OFFICE: P. O. Box 492418 Redding, CA 96049-2418 1900 Churn Creek Rd. Suite 319 Redding, CA 96002-0277 (530) 222-4791 Fax (530) 222-8908

☐ CHICO OFFICE: 1377 East Lassen Ave. Chico, CA 95973-7824 (530) 895-8633 FAX (530) 332-1497

☐ REGIONAL OFFICES in: Lake Almanor and Mount Shasta

Allan Smith  
October 31, 2017  
Page 2

This letter, with its attachments, serves as a Request for Waiver as prescribed by California Code of Regulations, Title 7, section 54533.

Please contact Executive Director Laura Larson if you have any questions concerning this matter.

Thank you for your assistance.

Sincerely,



LAURA L. LARSON  
Executive Director



RONDA DEVER  
Chairperson, FNCC Board of Directors

Encls: Conflict of Interest Reporting Statement – Suzette Serrano  
Proposed Conflict of Interest Resolution Plan – Suzette Serrano

cc: State Council on Developmental Disabilities  
FNCC Executive Committee  
Suzette Serrano

July 26, 2017

Board of Directors and  
Laura Larson, Executive Director  
Far Northern Regional Center  
P.O. Box 492418  
Redding, CA 96049-2418

Re: Proposed Conflict of Interest Resolution Plan –  
Board of Directors Member Suzette Serrano

TO THE BOARD OF DIRECTORS AND EXECUTIVE DIRECTOR OF FAR NORTHERN REGIONAL CENTER:

I am a member of Far Northern Regional Center's Board of Directors, a consumer Member-at-Large representative.

I have completed my annual Conflict of Interest Reporting Statement for 2017-18, disclosing a potential conflict of interest I may have as a member of the Board of Directors. The purpose of this letter is to propose a plan to resolve the potential conflict, and to ask for approval of a conflict waiver.

I am currently employed by ARC of Butte County, a FNRC employment provider, and work approximately four hours per week. I am, also, employed by We Care a Lot Foundation as a life guide. My hours vary, but I am, usually, there three times per week..

Welfare and Institutions Code section 4626(c) provides: "A person with a developmental disability who receives employment services through a regional center provider shall not be precluded from serving on the governing board of a regional center based solely upon receipt of these employment services."

Aside from my employment with ARC of Butte County and We Care A Lot Foundation, I do not have any other involvement that would present a possible conflict.

However, under the circumstances, there may be situations when a conflict of interest could come up. As a result, I have prepared a plan to avoid any actual conflict:

1. As a member of FNRC's Board of Directors I will not make any recommendation, participate in any discussion or vote on any contract regarding ARC of Butte County or We Care A Lot Foundation.
2. Should these issues arise during the course of a FNRC Board of Directors' meeting, I will excuse myself from the room;



Proposed Conflict of Interest Resolution Plan – Suzette Serrano

July 26, 2017

Page 2

3. I will not access any files kept by FNRC relating to ARC of Butte County or We Care A Lot Foundation;
4. I will not participate individually, or as part of a group, in the preparation, presentation, formulation or approval of plans, policies, analyses, or recommendations pertaining to ARC of Butte County or We Care A Lot Foundation.

I believe that this plan will resolve or mitigate any potential conflict of interest.

Thank you for your assistance,

A handwritten signature in cursive script, appearing to read "Suzette Ser".

SUZETTE SERRANO

Member, FNRC Board of Directors

Reset Form

## CONFLICT OF INTEREST REPORTING STATEMENT

### DS 6016 (Rev. 08/2013)

The duties and responsibilities of your position with the regional center require you to file this Conflict of Interest Reporting Statement. The purpose of this statement is to assist you, the regional center and the Department of Developmental Services (DDS) to identify any relationships, positions or circumstances involving you which may create a conflict of interest between your regional center duties and obligations, and any other financial interests and/or relationships that you may have. In order to be comprehensive, this reporting statement requires you to provide information with respect to your financial interests.

A "conflict of interest" generally exists if you have one or more personal, business, or financial interests, or relationships that would cause a reasonable person with knowledge of the relevant facts to question your impartiality with respect to your regional center duties. The specific circumstances and relationships which create a conflict of interest are set forth in the California Code of Regulations, title 17, sections 54500 through 54530. You should review these provisions to understand the specific financial interests and relationships that can create a conflict of interest.

Please answer the following questions to the best of your knowledge. If you find a question requires further explanation and/or there is not enough space to thoroughly answer the question, please attach as many additional sheets as necessary, and refer to the question number next to your answer. If the regional center identifies a conflict involving you, it will be required to prepare a conflict resolution plan. Some relevant definitions have been provided in the footnotes to assist you in responding to this statement.

You are required to file this Reporting Statement within 30 days of beginning your employment with the regional center or from the date that you are appointed to the regional center board or advisory committee board. You are then required to file an annual Reporting Statement by August 1st of every year while you remain employed with the regional center or while you are a member of the regional center board or advisory committee board. You must also file a Reporting Statement within 30 days of any change in your status that could result in a conflict of interest. Circumstances that can constitute a change in your status that can require you to file an updated Reporting Statement are described below in footnote one.

#### A. INFORMATION OF REPORTING INDIVIDUAL

Name: Suzette SerranoRegional Center: Far Northern

Regional Center Position/Title:

☒ Governing Board Member☐ Executive Director☐ Vendor Advisory Committee sitting on Board☐ Employee☐ Contractor☐ Agent☐ Consultant

Reporting Status:

☒ Annual☐ New Appointment (date): \_\_\_\_\_☐ Change of Status<sup>1</sup>

If a change in status, date and circumstance of change in status:

1. Please list your job title and describe your job duties at the regional center.

Board Member

<sup>1</sup> Change of status includes a previously unreported activity that should have been reported, change in the circumstance of a previously reported activity, change in financial interest, familial relationship, legal commitment, change in regional center position or duties, change in regional center, or change to outside position or duties. See California Code of Regulations, title 17, sections 54531(d) and 54532(d).

2. Do you or a family member<sup>2</sup> work for any entity or organization that is a regional center provider or contractor?  
☒ yes ☐ no -- If yes, provide the name of the entity or organization and describe what services it provides for the regional center or regional center consumers. If the provider or contractor is a state or local governmental entity, provide the specific name of the state or local governmental entity and describe your job duties at the state or local governmental entity.

I am currently employed by ARC of Butte County, a FNRC employment provider, and work approximately four hours per week. I am, also, employed by We Care A Lot Foundation as a life guide. My hours vary, but I am, usually, there three times per week.

3. Do you or a family member own or hold a position<sup>3</sup> in an entity or organization that is a regional center provider or contractor? ☒ yes ☐ no -- If yes, provide the name of the entity or organization, describe what services it provides for the regional center or regional center consumers, and describe your or your family member's financial interest.

See #2, above

4. Are you a regional center advisory committee board member? ☐ yes ☒ no -- If yes, are you a member of the governing board or owner or employee of an entity or organization that provides services to the regional center or regional center consumers? ☐ yes ☐ no -- If yes, provide the name of the entity or organization and describe what services it provides for the regional center or regional center consumers.

5. If you are a regional center advisory committee board member and answered yes to all the questions in Question 4 above, do any of the following apply to you: (a) are you an officer of the regional center board; (b) do you vote on purchasing services from a regional center provider; or (c) do you vote on matters where you might have a financial interest? ☐ yes ☐ no -- If yes, please explain.

N/A

<sup>2</sup> Family member includes your spouse, domestic partner, parents, stepparents, grandparents, siblings, stepsiblings, children, stepchildren, grandchildren, parent-in-laws, brother-in-laws, sister-in-laws, son-in-laws and daughter-in-laws. See California Code of Regulations, title 17, sections 54505(f).

<sup>3</sup> For purposes of this question, hold a position generally means that you or a family member is a director, officer, owner, partner, employee, or shareholder of an entity or organization that is a regional center provider or contractor. For a specific description of positions that create a conflict of interest in a regional center provider or contractor see the California Code of Regulations, title 17, sections 54520 and 54526.

6. Do any of the decisions you make when performing your job duties with the regional center have the potential to financially benefit you or a family member<sup>4</sup>? [Note: Governing board members do not have to answer "yes" to this question if the financial benefit would be available to regional center consumers or their families generally].  
☐ yes ☒ no -- If yes, please explain.

7. Are you responsible for negotiating, making,<sup>5</sup> executing or approving contracts on behalf of the regional center? ☒ yes ☐ no -- If yes, please explain.

I am a voting member of the Board of Directors pursuant to Welfare & Institutions Code section 4625.5 and related provisions.

8. Do you have a financial interest in any contract<sup>6</sup> with the regional center? ☐ yes ☒ no -- If yes, did you negotiate, make, execute or approve the contract on behalf of the regional center? ☐ yes ☐ no -- If yes, please explain.

9. Do any of your family members have a financial interest in any contract with the regional center? ☐ yes ☒ no  
 If yes, did you negotiate, make, execute or approve the contract on behalf of the regional center? ☐ yes ☐ no  
 If yes, please explain.

<sup>4</sup> Generally, a decision can financially benefit you or a family member if the decision can either directly or indirectly cause you or a family member to receive a financial gain or avoid a financial loss. For a specific description of the types of decisions that can result in a financial benefit to you or a family member see the California Code of Regulations, title 17, sections 54522 and 54527.

<sup>5</sup> California Code of Regulations, title 17, sections 54523(b)(2) and 54528(b)(2) describes the types of conduct which constitute involvement in the making of a contract.

<sup>6</sup> For purposes of questions 8 and 9, a financial interest in a contract generally means any direct or indirect interest in a contract that can cause you or a family member to receive any sort of financial gain or avoid any sort of financial loss irrespective of the dollar amount. California Code of Regulations, title 17, sections 54523 and 54528 define when financial interests in a contract will occur.

- ☒ Governing Board Member
- ☐ Vendor Advisory on Board
- ☐ Executive Director
- ☐ Employee/Other

10. Do you evaluate employment applications or contract bids that are submitted by your family member(s)?  
☐ yes ☒ no -- If yes, please explain.

11. Your job duties require you to act in the best interests of the regional center and regional center consumers. Do you have any circumstances or other financial interests not already discussed above that would prevent you from acting in the best interests of the regional center or its consumers? ☐ yes ☒ no -- If yes, please explain.

## B. ATTESTATION

I Suzette Serrano (print name) HEREBY CONFIRM that I have read and understand the regional center's Conflict of Interest Policy and that my responses to the questions in this Conflict of Interest Reporting Statement are complete, true, and correct to the best of my information and belief. I agree that if I become aware of any information that might indicate that this statement is not accurate or that I have not complied with the regional center's Conflict of Interest Policy or the applicable conflict of interest laws, I will notify the regional center's designated individual immediately. I understand that knowingly providing false information on this Conflict of Interest Reporting Statement shall subject me to a civil penalty in an amount up to fifty thousand dollars (\$50,000) pursuant to Welfare and Institutions Code section 4626.

Signature  Date \_\_\_\_\_

### INTERNAL USE ONLY

Date this Statement was received by Reviewer: \_\_\_\_\_

The reporting individual ☒ does ☐ does not have a ☐ present ☐ potential conflict of interest

Signature of Designated Reviewer \_\_\_\_\_

Date Review Completed \_\_\_\_\_





## **COUNCIL AGENDA ITEM DETAIL SHEET**

**ISSUE:** Regional Center Conflict of Interest (COI)

**SUMMARY:** Amendments to the Lanterman Act made by AB 1595 resulted in redefining the Area Boards into Regional Advisory Committees, changing their appointment authority and scope. Under its current process, the State Council on Developmental Disabilities (Council) is presented with a recommendation on the below conflict of interest resolution plan.

**BACKGROUND:** The Lanterman Act requires regional centers to submit conflict of interest statements and proposed resolution plans to the Department of Developmental Services (DDS) and the Council. (W&I Code 4626(I).) Under the Act, as amended by AB 1595, the Director of DDS may waive conflict of interest requirements of a contracting agency (i.e., a regional center) with approval of the State Council. (See W&I Code 4628.)

The Council is being presented with information reviewed under the existing SCDD criteria and process approved by the Council. This approach provides for staff analysis of regional center conflict of interest issues.

**FACTS - WRC Board Member Elizabeth Espinosa:** Elizabeth Espinosa is a member of the Westside Regional Center (WRC) board. She is employed by 24 Hour Homecare, a regional center provider, to provide personal assistance services solely to her brother who is a regional center consumer.

WRC has a public member recruitment and appointment process which is subject to public review and engagement. The regional center recruits prospective board members by advertising internally within WRC, with their community partners and vendors, at committee and other community meetings, and through public forums such as their website, board meetings, and mass mailings. The board's Nominating Committee recommends new members to the board, who makes the final determination at an open meeting.

Ms. Espinosa has not previously requested a waiver.

## **DISCUSSION:**

**Conflict of Interest:** DDS Regulation 54520 provides, in part, that a conflict of interest exists when the board member, or a family member of a regional center board member, holds any of the below positions for a provider:

- (1) a governing board member;
  - (2) a board committee member;
  - (3) a director;
  - (4) an officer;
  - (5) an owner;
  - (6) a partner;
  - (7) a shareholder;
  - (8) a trustee;
  - (9) an agent;
  - (10) an employee;
  - (11) a contractor;
  - (12) a consultant;
  - (13) a person who holds any position of management; or
  - (14) a person who has decision or policy making authority.
- (See 17 CCR 54520(a).)

With regard to her employment with 24 Hour Homecare, Ms. Espinosa has a conflict of interest. (See Regulation 54520(a)(10).) She therefore submits the following Conflict of Interest Resolution Plan:

1. Ms. Espinosa will take no action as a Board or Committee member on any matter that would impact 24 Hour Homecare or any competitor service provider which provides Personal Assistance Services or Respite, Day Care under socialization training, Homemaker Services, Financial Management Services (FMS), FMS Respite, and Day Care. Specifically, she will recuse herself from any vote on any matter that would impact 24 Hour Homecare or any competitor service provider.
2. Ms. Espinosa will cease taking action on any matter that would impact 24 Hour Homecare or any competitor service provider.

3. Ms. Espinosa will not participate in the vote to approve any report, plan, opinion, recommendation or action regarding 24 Hour Homecare or any competitor service provider or any actions creating policy or approaches that would impact 24 Hour Homecare of any competitor service provider which provides Personal Assistance Services or Respite, Day Care under socialization training, Homemaker Services, FMS, FMS Respite, and Day Care.
4. Ms. Espinosa will not participate in referrals or placement for 24 Hour Homecare or any competitor service provider. For any client served by 24 Hour Homecare or any competitor service provider, she will not participate in any review or discussion of any client's service issues brought to the attention of the Board; rather, such tasks will be addressed by other Board members or regional center employee/s.
5. Ms. Espinosa will not participate in any decisions about Purchase of Service authorizations for 24 Hour Homecare or any competitor service provider which provides Personal Assistance Services or Respite, Day Care under socialization training, Homemaker Services, FMS, FMS Respite and Day Care.
6. Ms. Espinosa will not participate in the preparation, consideration, or any follow-up related to Special Incident Reports from or about 24 Hour Homecare or any competitor service provider which provides Personal Assistance Services or Respite, Day Care under socialization training, Homemaker Services, FMS, FMS Respite and Day Care.
7. Ms. Espinosa will not create or review any corrective action plans for 24 Hour Homecare or any competitor service provider which provides Personal Assistance Services or Respite, Day Care under socialization training, Homemaker Services, FMS, FMS Respite and Day Care.
8. Ms. Espinosa will not participate in any action or resolution of any complaints pertaining to 24 Hour Homecare or any competitor service provider, which provides Personal Assistance Services or

Respite, Day Care under socialization training, Homemaker Services, FMS, FMS Respite and Day Care.

9. Ms. Espinosa will take no part in decisions regarding vendor appeals, or fair hearings involving 24 Hour Homecare or any competitor service provider, which provides Personal Assistance Services or Respite, Day Care under socialization training, Homemaker Services, FMS, FMS Respite and Day Care.
10. Ms. Espinosa will not access vendor files the regional center maintains about 24 Hour Homecare, either in electronic or hard copy form or any competitor service provider, which provides Personal Assistance Services or Respite, Day Care under socialization training, Homemaker Services, FMS, FMS Respire and Day Care.
11. Ms. Espinosa shall not participate in approving any policies that apply to 24 Hour Homecare or any competitor service provider which provides Personal Assistance series or Respite, Day Care under socialization training, Homemaker Services, FMS, FMS Respite and Day Care. Instead, these tasks will be the responsibility of the other Board members.
12. Ms. Espinosa will not be involved in the approval of WRC to a course of action involving 24 Hour Homecare or any competitor service provider which provides Personal Assistance Services or Respite, Day Care under socialization training, Homemaker Services, FMS, FMS Respite and Day Care.
13. The WRC Board of Directors will be informed about this Plan of Action, and the Directors will be informed of the need to ensure that Ms. Espinosa shall have no involvement in any action involving or affecting 24 Hour Homecare or any competitor service provider which provides Personal Assistance Services or Respite, Day Care under socialization training, Homemaker Services, FMS, FMS Respite and Day Care.
14. These restrictions only apply to 24 Hour Homecare and policies impacting 24 Hour Homecare and any competitor services provider

which provides Personal Assistance Services or Respite, Day Care under socialization training, Homemaker Services, FMS, FMS Respite and Day Care. The bulk of Ms. Espinosa's Board and Committee duties with regard to a vast array of other Board issues and other service providers will remain unchanged, unless the Board work would impact 24 Hour Homecare or any competitor service provider. This amounts to a reassignment of a small portion of Ms. Espinosa's duties and will not reduce the value and productivity that she provides to the WRC Board.

15. WRC has received approval from its Board of Directors regarding this waiver.
16. Finally, WRC will also ensure the 24 Hour Homecare is informed of this Plan to ensure that there is no expectation that Ms. Espinosa, in her role as a WRC Board and Committee member, can take part in actions that impact 24 Hour Homecare.

**W&I Code Section 4622 Requirements:** In addition to the requirements of Regulation 54520, Welfare and Institutions Code Section 4622(k) says that a member of a board who is also an employee of a regional center provider shall not:

- (1) Serve as an officer of the board;
- (2) Vote on any fiscal matter affecting the purchase of services from any regional center provider;
- (3) Vote on any issue in which the member has a financial interest under Government Code Section 87103 and determined by the regional center board.

Since Ms. Espinosa's employer is a WRC provider, any acceptable Resolution Plan must also comply with Section 4622's requirements.

The staff recommendation is to approve Ms. Espinosa's waiver request, provided she also complies with the requirements of W&I Code Section 4622(k), since the proposed plan otherwise mitigates the opportunity for a resulting conflict of interest.

**COUNCIL STRATEGIC PLAN OBJECTIVE:** None



**PRIOR COUNCIL ACTIVITY:** N/A

**STAFF RECOMMENDATION:** The staff recommendation is to approve Ms. Espinosa's waiver request provided she complies with requirements of W&I Code Section 4622(k).

**ATTACHMENT:** Espinosa COI reporting statement and resolution plan.

**PREPARED BY:** Legal Counsel Natalie Bocanegra, January 3, 2018.

## NOTIFICATION OF CONFLICT OF INTEREST AND CONFLICT RESOLUTION PLAN

WESTSIDE REGIONAL CENTER BOARD MEMBER  
ELIZABETH ESPINOSA

### **I. Law Governing Conflicts of Interest**

The prohibition against Regional Center governing board member conflicts of interest has its origin in section 4626 of the Welfare & Institutions Code, subsection (d) of which provides: "The department shall ensure that no regional center employee or board member has a conflict of interest with an entity that receives regional center funding...."

That general prohibition is explained in more detail in Title 17 of the California Code of Regulations section 54520 "Positions Creating Conflicts of Interests for Regional Center Governing Board Members and Executive Directors," which provides in pertinent part:

(a) A conflict of interest exists when a regional center governing board member ...or family member of such person is any of the following for a business entity, entity, or provider as defined in section 54505 of these regulations....:

- (1) a governing board member
- (2) a board committee member
- (3) a director
- (4) an officer
- (5) an owner
- (6) a partner
- (7) a shareholder
- (8) a trustee
- (9) an agent
- (10) **an employee**
- (11) a contractor
- (12) a consultant
- (13) a person who holds any position of management
- (14) a person who has decision or policymaking authority. (Emphasis added.)

Title 17 of the California Code of Regulations Section 54505 states that: "Business Entity, Entity or Provider" means any individual or business venture from whom or from which the regional center purchases, obtains or secures goods or services to conduct its operations."

Further, Title 17 Section 54533 states:

(a) When a present or potential conflict of interest is identified for a regional center board member, executive director, employee, contractor, agent, or consultant, the present or potential conflict shall be either eliminated or mitigated and managed through a Conflict Resolution Plan, or the individual shall resign his or her position with the regional center or regional center governing board.

## **II. Conflict of Elizabeth Espinosa**

Elizabeth Espinosa is a Board Member at Westside Regional Center (hereinafter "WRC" or "the Regional Center"). As a Board Member, Ms. Espinosa is signed up to participate on the Board's Client Services Committee and Finance Committee. WRC Executive Director Carmine Manicone confirms that Elizabeth Espinosa is a productive and valued member of the Board of Directors. Attached as Exhibit A is Elizabeth Espinosa's completed Conflict of Interest Reporting Statement. Ms. Espinosa is employed by 24 Hour Homecare to provide Personal Assistance Services for her brother, who is a regional center consumer. As part of her Conflict Resolution Plan, Ms. Espinosa will remain in her position on the Board of Directors, but refrain from voting on any matter related to 24 Hour Homecare or any service provider which provides Personal Assistance, Respite, Day Care under socialization training, homemaker, FMS, FMS Respite and Day Care, as 24 Hour Homecare does.

The fact that Elizabeth Espinosa is employed by 24 Hour Homecare, a vendor of WRC, to provide Personal Assistance services for her brother creates a direct conflict of interest for her. This document constitutes a disclosure of this conflict, a Conflict Resolution Plan to eliminate any adverse consequences from this relationship, and a request for approval of the Conflict Resolution Plan by the State Council on Developmental Disabilities ("SCDD") and the Department of Developmental Services "DDS".

## **III. Facts**

The plan of action proposed herein is designed to eliminate any adverse consequences from the conflict. To better understand how the plan will eliminate any adverse consequences, this request will first provide the facts regarding Elizabeth Espinosa's duties and responsibilities as a Board member and her work with 24 Hour Homecare.

### **A. Elizabeth Espinosa's Duties as Board Member**

As a Board Member, Elizabeth Espinosa regularly meets with other WRC Board members to create policy for the operation of the Regional Center. Policy is developed through recommendations from Board committees and the Executive Director. Direct operation of the Regional Center is delegated to the Executive Director who is hired by the Board. Staff recommendations for policy initiation or modification go the Executive Director, who, in turn, refers them to the Board and/or an appropriate Board committee, as necessary.

Elizabeth Espinosa's primary duties are as follows:

1. Attendance at monthly Board and Committee meetings, usually held on the first Wednesday of each month at the main WRC office in Culver City at 5901 Green Valley Circle.

2. Because the regional center is funded under contract with the State of California, Department of Developmental Services, each member of the Board of Directors is required to identify any potential conflict of interest as identified in Welfare and Institutions Code Sections 4626 and 4627.

3. A part of a Board member's responsibility requires him or her to be an informed and active participant on the Board, voting on issues and approving all regional center contracts of over \$250,000. WRC has a small contract directly with 24 Hour Homecare, but nothing approaching \$250,000, so there will be no Board contract approval for 24 Hour Homecare.

Under the suggested Plan of Action, Ms. Espinosa will remain in her Board position, but will be regulated so that she has no role or involvement with any matter that would impact 24 Hour Homecare or any service provider which provides Personal Assistance services or Respite, Day Care under socialization training, Homemaker Services, FMS, FMS Respite and Day Care.

B. Elizabeth Espinosa's Duties at 24 Hour Homecare

Ms. Espinosa provides Personal Assistance services for her brother, a WRC client. She is paid through 24 Hour Healthcare for these services. She does not provide any other services to any other regional center consumer.

IV. Conflict Resolution Plan

The Regional Center and its Executive Director, Carmine Manicone, have concluded that Elizabeth Espinosa provides substantial value to the Board of WRC. After consideration of the totality of the circumstances and a careful review of the facts, the Executive Director believes it is in the best interests of the Regional Center to create and implement a Conflict Resolution Plan to eliminate any adverse consequences from this relationship and to seek approval of this plan by SCDD and DDS.

The first step in the Conflict Resolution Plan is to allow Elizabeth Espinosa to remain in her position on the Board of Directors, but to cease taking action that might impact 24 Hour or other service providers offering the same services as 24 Hour Healthcare. This will eliminate any instance in which Ms. Espinosa would have to vote, or take action for or against 24 Hour Homecare, and would eliminate any possible action by her to recommend 24 Hour Homecare or to affect any of its competitors, which provide Personal Assistance services or Respite, Day Care under socialization training, Homemaker Services, FMS, FMS Respite and Day Care.

The second part of the plan is to insulate Elizabeth Espinosa from any action regarding 24 Hour Homecare or any of its competitors. She would recuse herself from participation in any vote regarding, drafting, planning, or discussion of rules, policies, or restrictions that would impact 24 Hour Homecare or its competitors providing Personal Assistance services or Respite, Day Care under socialization training, Homemaker Services, FMS, FMS Respite and Day Care. Any duties that potentially relate to 24 Hour Homecare or its competitors or generic policies applicable to such vendor/s represent a small portion of the valuable duties Ms. Espinosa performs on behalf of the Regional Center, and these duties can be easily delegated to other Regional Center Board members. Like other Board members, Elizabeth Espinosa develops policy through recommendations from the Executive Director, and thus considers numerous service providers on a variety of services.

Further, as the Conflict Resolution Plan details below, when any matter arises with regard to 24 Hour Homecare or any of its competitors which provide Personal Assistance services or Respite, Day Care under socialization training, Homemaker Services, FMS, FMS Respite and Day Care, Ms. Espinosa will agree not to be involved in the decision or vote on such matter. WRC will require her to abstain from taking action on the matter, and require the other Board members to take all such actions, including appropriate description of options, recommendations, analysis and ultimate decision and vote.

The Regional Center and Elizabeth Espinosa suggested Conflict Resolution Plan for this conflict of interest is as follows:

1. Elizabeth Espinosa will take no action as a Board or Committee member on any matter that would impact 24 Hour Homecare or any competitor service provider which provides Personal Assistance services or Respite, Day Care under socialization training, Homemaker Services, FMS, FMS Respite and Day Care. Specifically she will recuse herself from any vote on any matter that would impact 24 Hour Homecare or any competitor service provider.
2. Elizabeth Espinosa will cease taking action on any matter that would impact 24 Hour Homecare or any competitor service provider.
3. Elizabeth Espinosa will not participate in the vote to approve any report, plan, opinion, recommendation or action regarding 24 Hour Homecare or any competitor service provider or any actions creating policy or approaches that would impact 24 Hour Homecare or any competitor service provider which provides Personal Assistance services or Respite, Day Care under socialization training, Homemaker Services, FMS, FMS Respite and Day Care.
4. Elizabeth Espinosa will not participate in referrals or placement for 24 Hour Homecare or any competitor service provider. For any client served by 24 Hour Homecare or any competitor service provider, she will not participate in any review or discussion of any client's service issues brought to the attention of the Board; rather, such tasks will be addressed by other Board Members or Regional Center employee/s.
5. Elizabeth Espinosa will not participate in any decisions about Purchase of Service authorizations for 24 Hour Homecare or any competitor service provider which provides Personal Assistance services or Respite, Day Care under socialization training, Homemaker Services, FMS, FMS Respite and Day Care.
6. Elizabeth Espinosa will not participate in the preparation, consideration, or any follow-up related to Special Incident Reports from or about 24 Hour Homecare or any competitor service provider which provides Personal Assistance services or Respite, Day Care under socialization training, Homemaker Services, FMS, FMS Respite and Day Care.
7. Elizabeth Espinosa will not create or review any corrective action plans for 24 Hour Homecare or any competitor service provider which provides Personal Assistance services or Respite, Day Care under socialization training, Homemaker Services, FMS, FMS Respite and Day Care.



8. Elizabeth Espinosa will not participate in any action or resolution of any complaints pertaining to 24 Hour Homecare or any competitor service provider, which provides Personal Assistance services or Respite, Day Care under socialization training, Homemaker Services, FMS, FMS Respite and Day Care.

9. Elizabeth Espinosa will take no part in decisions regarding vendor appeals, or fair hearings involving 24 Hour Homecare or any competitor service provider, which provides Personal Assistance services or Respite, Day Care under socialization training, Homemaker Services, FMS, FMS Respite and Day Care.

10. Elizabeth Espinosa will not access vendor files the regional center maintains about 24 Hour Homecare, either in electronic or hard copy form or any competitor service provider, which provides Personal Assistance services or Respite, Day Care under socialization training, Homemaker Services, FMS, FMS Respite and Day Care.

11. Elizabeth Espinosa shall not participate in approving any policies that apply to 24 Hour Homecare or any competitor service provider which provides Personal Assistance services or Respite, Day Care under socialization training, Homemaker Services, FMS, FMS Respite and Day Care. Instead, these tasks will be the responsibility of the other Board Members.

12. Elizabeth Espinosa will not be involved in the approval of WRC to a course of action involving 24 Hour Homecare or any competitor service provider which provides Personal Assistance services or Respite, Day Care under socialization training, Homemaker Services, FMS, FMS Respite and Day Care.

13. The WRC Board of Directors will be informed about this Plan of Action, and the Directors will be informed of the need to ensure that Elizabeth Espinosa shall have no involvement in any action involving or affecting 24 Hour Homecare or any competitor service provider which provides Personal Assistance services or Respite, Day Care under socialization training, Homemaker Services, FMS, FMS Respite and Day Care.

14. These restrictions only apply to 24 Hour Homecare and policies impacting 24 Hour Homecare and any competitor service provider which provides Personal Assistance services or Respite, Day Care under socialization training, Homemaker Services, FMS, FMS Respite and Day Care. The bulk of Elizabeth Espinosa's Board and Committee duties with regard to a vast array of other Board issues and other service providers will remain unchanged, unless the Board work would impact 24 Hour Homecare or any competitor service provider. This amounts to a reassignment of a small portion of Ms. Espinosa's duties and will not reduce the value and productivity that she provides to the WRC Board.

16. WRC has received approval from its Board of Directors regarding this waiver.

17. Finally, WRC will also ensure that 24 Hour Homecare is informed of this Plan to ensure that there is no expectation that Elizabeth Espinosa, in her role as a WRC Board and Committee member, can take part in actions that impact 24 Hour Homecare.

**V. Request Approval of Conflict Resolution Plan**

For the reasons provided above, and in accordance with the Conflict Resolution Plan set forth above, Westside Regional Center hereby requests that DDS approve the Conflict Resolution Plan in this matter.

Respectfully submitted,

By: \_\_\_\_\_  
Elizabeth Espinosa, WRC Board Member

Date: \_\_\_\_\_

By: \_\_\_\_\_  
Nilo Choudhry, WRC Board President

Date: \_\_\_\_\_

We approve of this Waiver Request for Elizabeth Espinosa  
State Council on Developmental Disabilities

By: \_\_\_\_\_  
\_\_\_\_\_, SCDD

Date: \_\_\_\_\_

# Exhibit A

**Reset Form****CONFLICT OF INTEREST REPORTING STATEMENT  
DS 6016 (Rev. 08/2013)**

The duties and responsibilities of your position with the regional center require you to file this Conflict of Interest Reporting Statement. The purpose of this statement is to assist you, the regional center and the Department of Developmental Services (DDS) to identify any relationships, positions or circumstances involving you which may create a conflict of interest between your regional center duties and obligations, and any other financial interests and/or relationships that you may have. In order to be comprehensive, this reporting statement requires you to provide information with respect to your financial interests.

A "conflict of interest" generally exists if you have one or more personal, business, or financial interests, or relationships that would cause a reasonable person with knowledge of the relevant facts to question your impartiality with respect to your regional center duties. The specific circumstances and relationships which create a conflict of interest are set forth in the California Code of Regulations, title 17, sections 54500 through 54530. You should review these provisions to understand the specific financial interests and relationships that can create a conflict of interest.

Please answer the following questions to the best of your knowledge. If you find a question requires further explanation and/or there is not enough space to thoroughly answer the question, please attach as many additional sheets as necessary, and refer to the question number next to your answer. If the regional center identifies a conflict involving you, it will be required to prepare a conflict resolution plan. Some relevant definitions have been provided in the footnotes to assist you in responding to this statement.

You are required to file this Reporting Statement within 30 days of beginning your employment with the regional center or from the date that you are appointed to the regional center board or advisory committee board. You are then required to file an annual Reporting Statement by August 1st of every year while you remain employed with the regional center or while you are a member of the regional center board or advisory committee board. You must also file a Reporting Statement within 30 days of any change in your status that could result in a conflict of interest. Circumstances that can constitute a change in your status that can require you to file an updated Reporting Statement are described below in footnote one.

**A. INFORMATION OF REPORTING INDIVIDUAL**Name: Elizabeth Espinosa Regional Center: Westside Regional Center

Regional Center Position/Title: ☒ Governing Board Member ☐ Executive Director  
☐ Vendor Advisory Committee sitting on Board ☐ Employee  
☐ Contractor ☐ Agent ☐ Consultant

Reporting Status: ☒ Annual ☐ New Appointment (date): \_\_\_\_\_  
☐ Change of Status<sup>1</sup>

If a change in status, date and circumstance of change in status:

1. Please list your job title and describe your job duties at the regional center.

WRC  
Board of Directors

<sup>1</sup> Change of status includes a previously unreported activity that should have been reported, change in the circumstance of a previously reported activity, change in financial interest, familial relationship, legal commitment, change in regional center position or duties, change in regional center, or change to outside position or duties. See California Code of Regulations, title 17, sections 54531(d) and 54532(d).

- ☒ Governing Board Member  
☐ Vendor Advisory on Board  
☐ Executive Director  
☐ Employee/Other

2. Do you or a family member<sup>2</sup> work for any entity or organization that is a regional center provider or contractor?  
☒ yes ☐ no -- If yes, provide the name of the entity or organization and describe what services it provides for the regional center or regional center consumers. If the provider or contractor is a state or local governmental entity, provide the specific name of the state or local governmental entity and describe your job duties at the state or local governmental entity. *24 hr. hurricane coming for disabled loved one.*
3. Do you or a family member own or hold a position<sup>3</sup> in an entity or organization that is a regional center provider or contractor? ☒ yes ☒ no -- If yes, provide the name of the entity or organization, describe what services it provides for the regional center or regional center consumers, and describe your or your family member's financial interest.
4. Are you a regional center advisory committee board member? ☐ yes ☒ no -- If yes, are you a member of the governing board or owner or employee of an entity or organization that provides services to the regional center or regional center consumers? ☐ yes ☐ no -- If yes, provide the name of the entity or organization and describe what services it provides for the regional center or regional center consumers.
5. If you are a regional center advisory committee board member and answered yes to all the questions in Question 4 above, do any of the following apply to you: (a) are you an officer of the regional center board; (b) do you vote on purchasing services from a regional center provider; or (c) do you vote on matters where you might have a financial interest? ☐ yes ☐ no -- If yes, please explain.

<sup>2</sup> Family member includes your spouse, domestic partner, parents, stepparents, grandparents, siblings, stepsiblings, children, stepchildren, grandchildren, parent-in-laws, brother-in-laws, sister-in-laws, son-in-laws and daughter-in-laws. See California Code of Regulations, title 17, sections 54505(f).

<sup>3</sup> For purposes of this question, hold a position generally means that you or a family member is a director, officer, owner, partner, employee, or shareholder of an entity or organization that is a regional center provider or contractor. For a specific description of positions that create a conflict of interest in a regional center provider or contractor see the California Code of Regulations, title 17, sections 54520 and 54526.



<input checked="" type="checkbox"/> Governing Board Member
<input type="checkbox"/> Vendor Advisory on Board
<input type="checkbox"/> Executive Director
<input type="checkbox"/> Employee/Other

6. Do any of the decisions you make when performing your job duties with the regional center have the potential to financially benefit you or a family member<sup>4</sup>? [Note: Governing board members do not have to answer "yes" to this question if the financial benefit would be available to regional center consumers or their families generally].  
☐ yes ☒ no -- If yes, please explain.

7. Are you responsible for negotiating, making,<sup>5</sup> executing or approving contracts on behalf of the regional center? ☒ yes ☐ no -- If yes, please explain.  
 WPC Board Members vote on contracts over \$250K.

8. Do you have a financial interest in any contract<sup>6</sup> with the regional center? ☐ yes ☒ no -- If yes, did you negotiate, make, execute or approve the contract on behalf of the regional center? ☐ yes ☐ no -- If yes, please explain.

9. Do any of your family members have a financial interest in any contract with the regional center? ☐ yes ☒ no  
 If yes, did you negotiate, make, execute or approve the contract on behalf of the regional center? ☐ yes ☐ no  
 If yes, please explain.

<sup>4</sup> Generally, a decision can financially benefit you or a family member if the decision can either directly or indirectly cause you or a family member to receive a financial gain or avoid a financial loss. For a specific description of the types of decisions that can result in a financial benefit to you or a family member see the California Code of Regulations, title 17, sections 54522 and 54527.

<sup>5</sup> California Code of Regulations, title 17, sections 54523(b)(2) and 54528(b)(2) describes the types of conduct which constitute involvement in the making of a contract.

<sup>6</sup> For purposes of questions 8 and 9, a financial interest in a contract generally means any direct or indirect interest in a contract that can cause you or a family member to receive any sort of financial gain or avoid any sort of financial loss irrespective of the dollar amount. California Code of Regulations, title 17, sections 54523 and 54528 define when financial interests in a contract will occur.

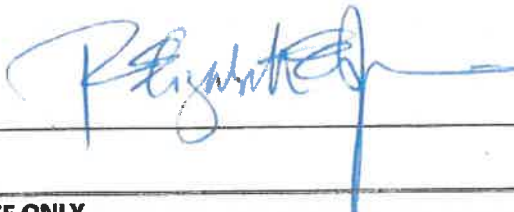
- ☒ Governing Board Member
- ☐ Vendor Advisory on Board
- ☐ Executive Director
- ☐ Employee/Other

10. Do you evaluate employment applications or contract bids that are submitted by your family member(s)?  
☐ yes ☒ no -- If yes, please explain.

11. Your job duties require you to act in the best interests of the regional center and regional center consumers. Do you have any circumstances or other financial interests not already discussed above that would prevent you from acting in the best interests of the regional center or its consumers? ☐ yes ☒ no -- If yes, please explain.

## B. ATTESTATION

I Elizabeth Espinosa (print name) HEREBY CONFIRM that I have read and understand the regional center's Conflict of Interest Policy and that my responses to the questions in this Conflict of Interest Reporting Statement are complete, true, and correct to the best of my information and belief. I agree that if I become aware of any information that might indicate that this statement is not accurate or that I have not complied with the regional center's Conflict of Interest Policy or the applicable conflict of interest laws, I will notify the regional center's designated individual immediately. I understand that knowingly providing false information on this Conflict of Interest Reporting Statement shall subject me to a civil penalty in an amount up to fifty thousand dollars (\$50,000) pursuant to Welfare and Institutions Code section 4626.

Signature  Date 7/12/17

### INTERNAL USE ONLY

Date this Statement was received by Reviewer:

The reporting individual ☐ does ☐ does not have a ☐ present ☐ potential conflict of interest

Signature of Designated Reviewer

Date Review Completed



## **COUNCIL AGENDA ITEM DETAIL SHEET**

**ISSUE:** Regional Center Conflict of Interest (COI)

**SUMMARY:** Amendments to the Lanterman Act made by AB 1595 resulted in redefining the Area Boards into Regional Advisory Committees, changing their appointment authority and scope. Under its current process, the State Council on Developmental Disabilities (Council) is presented with a recommendation on the below conflict of interest resolution plan.

**BACKGROUND:** The Lanterman Act requires regional centers to submit conflict of interest statements and proposed resolution plans to the Department of Developmental Services (DDS) and the Council. (W&I Code 4626(l).) Under the Act, as amended by AB 1595, the Director of DDS may waive conflict of interest requirements of a contracting agency (i.e., a regional center) with approval of the State Council. (See W&I Code 4628.)

The Council is being presented with information reviewed under the existing SCDD criteria and process approved by the Council. This approach provides for staff analysis of regional center conflict of interest issues.

**FACTS - WRC Board Member Zoe Giesberg:** Zoe Giesberg is a member of the Westside Regional Center (WRC) board. She is employed as a Community Outreach Assistant by Focus on All Child Therapies (FACT), a regional center provider. FACT provides Behavior Management Services, Counseling Services, Community Integration Services and Supported Living Services.

WRC has a public member recruitment and appointment process which is subject to public review and engagement. The regional center recruits prospective board members by advertising internally within WRC, with their community partners and vendors, at committee and other community meetings, and through public forums such as their website, board meetings, and mass mailings. The board's Nominating Committee recommends new members to the board, who makes the final determination at an open meeting.

Ms. Giesberg has not previously requested a waiver.

## **DISCUSSION:**

**Conflict of Interest:** DDS Regulation 54520 provides, in part, that a conflict of interest exists when the board member, or a family member of a regional center board member, holds any of the below positions for a provider:

- (1) a governing board member;
  - (2) a board committee member;
  - (3) a director;
  - (4) an officer;
  - (5) an owner;
  - (6) a partner;
  - (7) a shareholder;
  - (8) a trustee;
  - (9) an agent;
  - (10) an employee;
  - (11) a contractor;
  - (12) a consultant;
  - (13) a person who holds any position of management; or
  - (14) a person who has decision or policy making authority.
- (See 17 CCR 54520(a).)

With regard to her employment with FACT, Ms. Giesberg has a conflict of interest. (See Regulation 54520(a)(10).) She therefore submits the following Conflict of Interest Resolution Plan:

1. Ms. Giesberg will take no action as a Board or Committee member on any matter that would impact FACT or any competitor service provider which provides Behavior Management Services, Counseling Services, Community Integration Services and Supported Living Services. Specifically, she will recuse herself from any vote on any matter that would impact FACT or any competitor service provider.
2. Ms. Giesberg will cease taking action on any matter that would impact FACT or any competitor service provider which provides Behavior Management Services, Counseling Services, Community Integration Services and Supported Living Services.

3. Ms. Giesberg will not participate in the vote to approve any report, plan, opinion, recommendation or action regarding FACT or any competitor service provider or any actions creating policy or approaches that would impact FACT or any competitor service provider which provides Behavior Management Services, Counseling Services, Community Integration Services and Supported Living Services.
4. Ms. Giesberg will not participate in referrals or placement for FACT or any competitor service provider which provides Behavior Management Services, Counseling Services, Community Integration Services and Supported Living Services. For any client served by FACT or any competitor service provider, she will not participate in any review or discussion of any client's service issues brought to the attention of the Board; rather, such tasks will be addressed by other Board Members or regional center employee/s.
5. Ms. Giesberg will not participate in any decisions about Purchase of Service authorizations for FACT or any competitor service provider which provides Behavior Management Services, Counseling Services, Community Integration Services and Supported Living Services.
6. Ms. Giesberg will not participate in the preparation, consideration, or any follow-up related to Special Incident Reports from or about FACT or any competitor service provider which provides Behavior Management Services, Counseling Services, Community Integration Services and Supported Living Services.
7. Ms. Giesberg will not create or review any corrective action plans for FACT or any competitor service provider which provides Behavior Management Services, Counseling Services, Community Integration Services and Supported Living Services.
8. Ms. Giesberg will not participate in any action or resolution of any complaints pertaining to FACT or any competitor service provider which provides Behavior Management Services, Counseling



Services, Community Integration Services and Supported Living Services.

9. Ms. Giesberg will take no part in decisions regarding vendor appeals, or fair hearings involving FACT or any competitor service provider which provides Behavior Management Services, Counseling Services, Community Integration Services and Supported Living Services.
10. Ms. Giesberg will not access vendor files the regional center maintains about FACT, either in electronic or hard copy form, or any competitor service provider, which provides Behavior Management Services, Counseling Services, Community Integration Services and Supported Living Services.
11. Ms. Giesberg shall not participate in approving any policies that apply to FACT or any competitor service provider which provides Behavior Management Services, Counseling Services, Community Integration Services and Supported Living Services. Instead, these tasks will be the responsibility of the other Board Members.
12. Ms. Giesberg will not be involved in the approval of WRC to a course of action involving FACT or any competitor service provider which provides Behavior Management Services, Counseling Services, Community Integration Services and Supported Living Services.
13. The WRC Board of Directors and the regional center Executive Director will be informed about this Plan of Action, and the Directors will be informed of the need to ensure that Ms. Giesberg shall have no involvement in any action involving or affecting FACT or any competitor service provider which provides individual and group supported employment, community integration and individualized day programs. The Board shall monitor this plan.
14. These restrictions only apply to FACT and policies impacting FACT and any competitor service provider which provides Behavior Management Services, Counseling Services, Community Integration Services and Supported Living Services. The bulk of

Ms. Giesberg's Board and Committee duties with regard to a vast array of other Board issues and other service providers will remain unchanged, unless the Board work would impact FACT or any competitor service provider which provides Behavior Management Services, Counseling Services, Community Integration Services and Supported Living Services. This amounts to a reassignment of a small portion of Ms. Giesberg's duties and will not reduce the value and productivity that she provides to the WRC Board.

15. WRC has received approval from its Board of Directors regarding this waiver.
16. WRC will also ensure that FACT is informed of this Plan to ensure that there is no expectation that Ms. Giesberg, in her role as a WRC Board and Committee member, can take part in actions that impact FACT.

**W&I Code Section 4622 Requirements:** In addition to the requirements of Regulation 54520, Welfare and Institutions Code Section 4622(k) says that a member of a board who is also an employee of a regional center provider shall not:

- (1) Serve as an officer of the board;
- (2) Vote on any fiscal matter affecting the purchase of services from any regional center provider;
- (3) Vote on any issue in which the member has a financial interest under Government Code Section 87103 and determined by the regional center board.

Since Ms. Giesberg's employer is a WRC provider, any acceptable Resolution Plan must also comply with Section 4622's requirements.

The staff recommendation is to approve Ms. Giesberg's waiver request, provided she also complies with the requirements of W&I Code Section 4622(k), since the proposed plan otherwise mitigates the opportunity for a resulting conflict of interest.

**COUNCIL STRATEGIC PLAN OBJECTIVE:** None

**PRIOR COUNCIL ACTIVITY:** N/A

**STAFF RECOMMENDATION:** The staff recommendation is to approve Ms. Giesberg's waiver request provided she complies with requirements of W&I Code Section 4622(k).

**ATTACHMENT:** Giesberg COI reporting statement and resolution plan.

**PREPARED BY:** Legal Counsel Natalie Bocanegra, December 20, 2017.

# **NOTIFICATION OF CONFLICT OF INTEREST AND CONFLICT RESOLUTION PLAN**

**WESTSIDE REGIONAL CENTER BOARD MEMBER  
ZOE GIESBERG**

## **I. Law Governing Conflicts of Interest**

The prohibition against Regional Center governing board member conflicts of interest has its origin in section 4626 of the Welfare & Institutions Code, subsection (d) of which provides: "The department shall ensure that no regional center employee or board member has a conflict of interest with an entity that receives regional center funding...."

That general prohibition is explained in more detail in Title 17 of the California Code of Regulations section 54520 "Positions Creating Conflicts of Interests for Regional Center Governing Board Members and Executive Directors," which provides in pertinent part:

(a) A conflict of interest exists when a regional center governing board member ...or family member of such person is any of the following for a business entity, entity, or provider as defined in section 54505 of these regulations....:

- (1) a governing board member
- (2) a board committee member
- (3) a director
- (4) an officer
- (5) an owner
- (6) a partner
- (7) a shareholder
- (8) a trustee
- (9) an agent
- (10) **an employee**
- (11) a contractor
- (12) a consultant
- (13) a person who holds any position of management
- (14) a person who has decision or policymaking authority. (Emphasis added.)

Title 17 of the California Code of Regulations Section 54505 states that: "Business Entity, Entity or Provider" means any individual or business venture from whom or from which the regional center purchases, obtains or secures goods or services to conduct its operations."

Further, Title 17 Section 54533 states:

(a) When a present or potential conflict of interest is identified for a regional center board member, executive director, employee, contractor, agent, or consultant, the present or potential conflict shall be either eliminated or mitigated and managed through a Conflict Resolution Plan, or the individual shall resign his or his position with the regional center or regional center governing board.

## **II. Conflict of Zoe Giesberg**

Zoe Adams Giesberg is a Board Member at Westside Regional Center (hereinafter "WRC" or "the Regional Center"). As a Board Member, Ms. Giesberg is on no Committees. WRC Executive Director, Carmine Manicone, confirms that Zoe Giesberg is a productive and valued member of the Board of Directors. Attached as Exhibit A is Zoe Giesberg's completed Conflict of Interest Reporting Statement. Ms. Giesberg, a former Regional Center client, is employed by Focus on All Child Therapies ("FACT"), which is vendored to provide Behavior Management Services, Counseling Services, Community Integration Services and Supported Living Services. As part of her Conflict Resolution Plan, Ms. Giesberg will remain in her position on the Board of Directors, but refrain from voting on any matter related to FACT or to any service provider which provides Behavior Management Services, Counseling Services, Community Integration Services and Supported Living Services, as FACT does.

The fact that Zoe Giesberg is employed by FACT, a vendor of WRC, as a to do Community Relations and Social Media Outreach creates a direct conflict of interest. This document constitutes a disclosure of this conflict, a Conflict Resolution Plan to eliminate any adverse consequences from this relationship, and a request for approval of the Conflict Resolution Plan by the State Council on Developmental Disabilities ("SCDD") and the Department of Developmental Services "DDS".

## **III. Facts**

The plan of action proposed herein is designed to eliminate any adverse consequences from the conflict. To better understand how the plan will eliminate any adverse consequences, this request will first provide the facts regarding Zoe Giesberg's duties and responsibilities as a Board member and then as to her work with FACT.

### **A. Zoe Giesberg's Duties as Board Member**

As a Board Member, Zoe Giesberg regularly meets with other WRC Board members to create policy for the operation of the Regional Center. Policy is developed through recommendations from Board committees and the Executive Director. Direct operation of the Regional Center is delegated to the Executive Director who is hired by the Board. Staff recommendations for policy initiation or modification go the Executive Director, who, in turn, refers them to the Board and/or an appropriate Board committee, as necessary.

Zoe Giesberg's primary duties are as follows:

1. Attendance at monthly Board and Committee meetings, usually held on the first Wednesday of each month at the main WRC office in Culver City at 5901 Green Valley Circle and attendance at Committee meetings at the same address.
2. Because the Regional Center is funded under contract with the State of California, Department of Developmental Services, each member of the Board is required to

identify any potential conflict of interest as identified in Welfare and Institutions Code Sections 4626 and 4627.

3. A part of a Board member's responsibility requires him or her to be an informed and active participant on the Board, voting on issues and approving all regional center contracts of over \$250,000. WRC does not have a contract with FACT approaching \$250,000, so there will be no Board contract approval for FACT.

Under the suggested Plan of Action, Ms. Giesberg will remain in her Board position, but will be regulated so that she has no role or involvement with any matter that would impact FACT or any service provider which provides Behavior Management Services, Counseling Services, Community Integration Services and Supported Living Services, as FACT does. This will be monitored by the entire WRC Board.

#### B. Zoe Giesberg's Duties at FACT

Ms. Giesberg is employed to provide Community Relations and Social Media Outreach for FACT. She states that some or all of the pay which she receives from FACT is provided by contribution to FACT from her parents.

#### IV. Conflict Resolution Plan

The Regional Center and its Executive Director, Carmine Manicone, have concluded that Zoe Giesberg provides substantial value to the Board of WRC. After consideration of the totality of the circumstances and a careful review of the facts, the Executive Director believes it is in the best interests of the Regional Center to create and implement a Conflict Resolution Plan to eliminate any adverse consequences from this relationship and to seek approval of this plan by SCDD and DDS.

The first step in the Conflict Resolution Plan is to allow Zoe Giesberg to remain in her position on the Board of Directors, but to cease taking action that might impact FACT or other service providers offering Behavior Management Services, Counseling Services, Community Integration Services and Supported Living Services, as FACT does. This will eliminate any instance in which Ms. Giesberg would have to vote, or take action for or against FACT, and would eliminate any possible action by her to recommend FACT or to affect any of its competitors, which provide Behavior Management Services, Counseling Services, Community Integration Services and Supported Living Services.

The second part of the plan is to insulate Zoe Giesberg from any action regarding FACT or any of its competitors. She would recuse herself from participation in any vote regarding, drafting, planning, or discussion of rules, policies, or restrictions that would impact FACT or its competitors providing Behavior Management Services, Counseling Services, Community Integration Services and Supported Living Services. Any duties that potentially relate to FACT or its competitors or generic policies applicable to such vendor/s represent a small portion of the valuable duties Ms. Giesberg performs on behalf of the Regional Center, and these duties can be easily delegated to other Regional Center Board members. Like other Board members, Zoe Giesberg develops policy through recommendations from the Executive Director, and thus considers numerous service providers on a variety of services.



Further, as the Conflict Resolution Plan details below, when any matter arises with regard to FACT or any of its competitors which provide Behavior Management Services, Counseling Services, Community Integration Services and Supported Living Services, Ms. Giesberg will agree not to be involved in the decision or vote on such matter. WRC will require her to abstain from taking action on the matter, and require the other Board members to take all such actions, including appropriate description of options, recommendations, analysis and ultimate decision and vote. This will be monitored by Carmine Manicone, as Executive Director, and by the Board as a whole.

The Regional Center and Zoe Giesberg suggested Conflict Resolution Plan for this conflict of interest is as follows:

1. Zoe Giesberg will take no action as a Board or Committee member on any matter that would impact FACT or any competitor service provider which provides Behavior Management Services, Counseling Services, Community Integration Services and Supported Living Services. Specifically, she will recuse herself from any vote on any matter that would impact FACT or any competitor service provider.
2. Zoe Giesberg will cease taking action on any matter that would impact FACT or any competitor service provider which Behavior Management Services, Counseling Services, Community Integration Services and Supported Living Services.
3. Zoe Giesberg will not participate in the vote to approve any report, plan, opinion, recommendation or action regarding FACT or any competitor service provider or any actions creating policy or approaches that would impact FACT or any competitor service provider which provides Behavior Management Services, Counseling Services, Community Integration Services and Supported Living Services.
4. Zoe Giesberg will not participate in referrals or placement for FACT or any competitor service provider which provides Behavior Management Services, Counseling Services, Community Integration Services and Supported Living Services. For any client served by FACT or any competitor service provider, she will not participate in any review or discussion of any client's service issues brought to the attention of the Board; rather, such tasks will be addressed by other Board Members or Regional Center employee/s.
5. Zoe Giesberg will not participate in any decisions about Purchase of Service authorizations for FACT or any competitor service provider which Behavior Management Services, Counseling Services, Community Integration Services and Supported Living Services.
6. Zoe Giesberg will not participate in the preparation, consideration, or any follow-up related to Special Incident Reports from or about FACT or any competitor service provider which provides Behavior Management Services, Counseling Services, Community Integration Services and Supported Living Services.

7. Zoe Giesberg will not create or review any corrective action plans for FACT or any competitor service provider which provides Behavior Management Services, Counseling Services, Community Integration Services and Supported Living Services.

8. Zoe Giesberg will not participate in any action or resolution of any complaints pertaining to FACT or any competitor service provider, which provides Behavior Management Services, Counseling Services, Community Integration Services and Supported Living Services.

9. Zoe Giesberg will take no part in decisions regarding vendor appeals, or fair hearings involving FACT or any competitor service provider, which provides Behavior Management Services, Counseling Services, Community Integration Services and Supported Living Services.

10. Zoe Giesberg will not access vendor files the regional center maintains about FACT, either in electronic or hard copy form or any competitor service provider, which provides Behavior Management Services, Counseling Services, Community Integration Services and Supported Living Services.

11. Zoe Giesberg shall not participate in approving any policies that apply to FACT or any competitor service provider which provides Behavior Management Services, Counseling Services, Community Integration Services and Supported Living Services. Instead, these tasks will be the responsibility of the other Board Members.

12. Zoe Giesberg will not be involved in the approval of WRC to a course of action involving FACT or any competitor service provider which provides Behavior Management Services, Counseling Services, Community Integration Services and Supported Living Services.

13. The WRC Board of Directors and the Regional Center Executive Director will be informed about this Plan of Action, and the Directors will be informed of the need to ensure that Zoe Giesberg shall have no involvement in any action involving or affecting FACT or any competitor service provider which provides individual and group supported employment, community integration and individualized day programs. The Board shall monitor this plan.

14. These restrictions only apply to FACT and policies impacting FACT and any competitor service provider which provides Behavior Management Services, Counseling Services, Community Integration Services and Supported Living Services. The bulk of Zoe Giesberg's Board and Committee duties with regard to a vast array of other Board issues and other service providers will remain unchanged, unless the Board work would impact FACT or any competitor service provider which provides Behavior Management Services, Counseling Services, Community Integration Services and Supported Living Services. This amounts to a reassignment of a small portion of Ms. Giesberg's duties and will not reduce the value and productivity that she provides to the WRC Board.

16. WRC has received approval from its Board of Directors regarding this waiver.

17. Finally, WRC will also ensure that FACT is informed of this Plan to ensure that there is no expectation that Zoe Giesberg, in her role as a WRC Board and Committee member, can take part in actions that impact FACT.

**V. Request Approval of Conflict Resolution Plan**

For the reasons provided above, and in accordance with the Conflict Resolution Plan set forth above, Westside Regional Center hereby requests that the State Council and DDS approve the Conflict Resolution Plan in this matter.

Respectfully submitted,

By: \_\_\_\_\_  
Zoe Giesberg, WRC Board Member

Date: \_\_\_\_\_

By: \_\_\_\_\_  
Nilo Choudhry, WRC Board President

Date: \_\_\_\_\_

We approve of this Waiver Request for Zoe Giesberg  
State Council on Developmental Disabilities

By: \_\_\_\_\_  
\_\_\_\_\_, SCDD

Date: \_\_\_\_\_

# Exhibit A

Reset Form

**CONFLICT OF INTEREST REPORTING STATEMENT****DS 6016 (Rev. 08/2013)**

The duties and responsibilities of your position with the regional center require you to file this Conflict of Interest Reporting Statement. The purpose of this statement is to assist you, the regional center and the Department of Developmental Services (DDS) to identify any relationships, positions or circumstances involving you which may create a conflict of interest between your regional center duties and obligations, and any other financial interests and/or relationships that you may have. In order to be comprehensive, this reporting statement requires you to provide information with respect to your financial interests.

A "conflict of interest" generally exists if you have one or more personal, business, or financial interests, or relationships that would cause a reasonable person with knowledge of the relevant facts to question your impartiality with respect to your regional center duties. The specific circumstances and relationships which create a conflict of interest are set forth in the California Code of Regulations, title 17, sections 54500 through 54530. You should review these provisions to understand the specific financial interests and relationships that can create a conflict of interest.

Please answer the following questions to the best of your knowledge. If you find a question requires further explanation and/or there is not enough space to thoroughly answer the question, please attach as many additional sheets as necessary, and refer to the question number next to your answer. If the regional center identifies a conflict involving you, it will be required to prepare a conflict resolution plan. Some relevant definitions have been provided in the footnotes to assist you in responding to this statement.

You are required to file this Reporting Statement within 30 days of beginning your employment with the regional center or from the date that you are appointed to the regional center board or advisory committee board. You are then required to file an annual Reporting Statement by August 1st of every year while you remain employed with the regional center or while you are a member of the regional center board or advisory committee board. You must also file a Reporting Statement within 30 days of any change in your status that could result in a conflict of interest. Circumstances that can constitute a change in your status that can require you to file an updated Reporting Statement are described below in footnote one.

**A. INFORMATION OF REPORTING INDIVIDUAL**

Name: Zoe Giesberg Regional Center: Westside Regional Center

Regional Center Position/Title: ☒ Governing Board Member ☐ Executive Director  
☐ Vendor Advisory Committee sitting on Board ☐ Employee  
☐ Contractor ☐ Agent ☐ Consultant

Reporting Status: ☒ Annual ☐ New Appointment (date): \_\_\_\_\_  
☐ Change of Status<sup>1</sup>

If a change in status, date and circumstance of change in status:

1. Please list your job title and describe your job duties at the regional center.

governing board member

<sup>1</sup> Change of status includes a previously unreported activity that should have been reported, change in the circumstance of a previously reported activity, change in financial interest, familial relationship, legal commitment, change in regional center position or duties, change in regional center, or change to outside position or duties. See California Code of Regulations, title 17, sections 54531(d) and 54532(d).

- |                                                            |
|------------------------------------------------------------|
| <input checked="" type="checkbox"/> Governing Board Member |
| <input type="checkbox"/> Vendor Advisory on Board          |
| <input type="checkbox"/> Executive Director                |
| <input type="checkbox"/> Employee/Other                    |

2. Do you or a family member<sup>2</sup> work for any entity or organization that is a regional center provider or contractor?  
☒ yes ☐ no – If yes, provide the name of the entity or organization and describe what services it provides for the regional center or regional center consumers. If the provider or contractor is a state or local governmental entity, provide the specific name of the state or local governmental entity and describe your job duties at the state or local governmental entity.

I work at FACT and my parents pay my salary

3. Do you or a family member own or hold a position<sup>3</sup> in an entity or organization that is a regional center provider or contractor? ☐ yes ☒ no – If yes, provide the name of the entity or organization, describe what services it provides for the regional center or regional center consumers, and describe your or your family member's financial interest.

4. Are you a regional center advisory committee board member? ☐ yes ☒ no -- If yes, are you a member of the governing board or owner or employee of an entity or organization that provides services to the regional center or regional center consumers? ☐ yes ☐ no -- If yes, provide the name of the entity or organization and describe what services it provides for the regional center or regional center consumers.

5. If you are a regional center advisory committee board member and answered yes to all the questions in Question 4 above, do any of the following apply to you: (a) are you an officer of the regional center board; (b) do you vote on purchasing services from a regional center provider; or (c) do you vote on matters where you might have a financial interest? ☐ yes ☐ no – If yes, please explain.

<sup>2</sup> Family member includes your spouse, domestic partner, parents, stepparents, grandparents, siblings, stepsiblings, children, stepchildren, grandchildren, parent-in-laws, brother-in-laws, sister-in-laws, son-in-laws and daughter-in-laws. See California Code of Regulations, title 17, sections 54505(f).

<sup>3</sup> For purposes of this question, hold a position generally means that you or a family member is a director, officer, owner, partner, employee, or shareholder of an entity or organization that is a regional center provider or contractor. For a specific description of positions that create a conflict of interest in a regional center provider or contractor see the California Code of Regulations, title 17, sections 54520 and 54526.



<input checked="" type="checkbox"/> Governing Board Member
<input type="checkbox"/> Vendor Advisory on Board
<input type="checkbox"/> Executive Director
<input type="checkbox"/> Employee/Other

6. Do any of the decisions you make when performing your job duties with the regional center have the potential to financially benefit you or a family member<sup>4</sup>? [Note: Governing board members do not have to answer "yes" to this question if the financial benefit would be available to regional center consumers or their families generally].  
☐ yes ☒ no -- If yes, please explain.

7. Are you responsible for negotiating, making,<sup>5</sup> executing or approving contracts on behalf of the regional center? ☒ yes ☐ no -- If yes, please explain.

I vote on contracts over \$250,000 as a board member.

8. Do you have a financial interest in any contract<sup>6</sup> with the regional center? ☐ yes ☒ no -- If yes, did you negotiate, make, execute or approve the contract on behalf of the regional center? ☐ yes ☐ no -- If yes, please explain.

9. Do any of your family members have a financial interest in any contract with the regional center? ☐ yes ☒ no  
 If yes, did you negotiate, make, execute or approve the contract on behalf of the regional center? ☐ yes ☐ no  
 If yes, please explain.

<sup>4</sup> Generally, a decision can financially benefit you or a family member if the decision can either directly or indirectly cause you or a family member to receive a financial gain or avoid a financial loss. For a specific description of the types of decisions that can result in a financial benefit to you or a family member see the California Code of Regulations, title 17, sections 54522 and 54527.

<sup>5</sup> California Code of Regulations, title 17, sections 54523(b)(2) and 54528(b)(2) describes the types of conduct which constitute involvement in the making of a contract.

<sup>6</sup> For purposes of questions 8 and 9, a financial interest in a contract generally means any direct or indirect interest in a contract that can cause you or a family member to receive any sort of financial gain or avoid any sort of financial loss irrespective of the dollar amount. California Code of Regulations, title 17, sections 54523 and 54528 define when financial interests in a contract will occur.

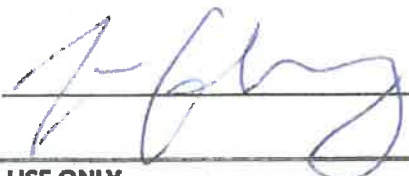
<input checked="" type="checkbox"/> Governing Board Member
<input type="checkbox"/> Vendor Advisory on Board
<input type="checkbox"/> Executive Director
<input type="checkbox"/> Employee/Other

10. Do you evaluate employment applications or contract bids that are submitted by your family member(s)?  
☐ yes ☒ no – If yes, please explain.

11. Your job duties require you to act in the best interests of the regional center and regional center consumers. Do you have any circumstances or other financial interests not already discussed above that would prevent you from acting in the best interests of the regional center or its consumers? ☐ yes ☒ no – If yes, please explain.

## B. ATTESTATION

I Tracy Riesberg (print name) HEREBY CONFIRM that I have read and understand the regional center's Conflict of Interest Policy and that my responses to the questions in this Conflict of Interest Reporting Statement are complete, true, and correct to the best of my information and belief. I agree that if I become aware of any information that might indicate that this statement is not accurate or that I have not complied with the regional center's Conflict of Interest Policy or the applicable conflict of interest laws, I will notify the regional center's designated individual immediately. I understand that knowingly providing false information on this Conflict of Interest Reporting Statement shall subject me to a civil penalty in an amount up to fifty thousand dollars (\$50,000) pursuant to Welfare and Institutions Code section 4626.

Signature  Date 7/12/2017

### INTERNAL USE ONLY

Date this Statement was received by Reviewer:

The reporting individual ☒ does ☐ does not have a ☐ present ☒ potential conflict of interest

Signature of Designated Reviewer

Date Review Completed



8/03/17

## **COUNCIL AGENDA ITEM DETAIL SHEET**

**ISSUE:** Regional Center Conflict of Interest (COI)

**SUMMARY:** Amendments to the Lanterman Act made by AB 1595 resulted in redefining the Area Boards into Regional Advisory Committees, changing their appointment authority and scope. Under its current process, the State Council on Developmental Disabilities (Council) is presented with a recommendation on the below conflict of interest resolution plan.

**BACKGROUND:** The Lanterman Act requires regional centers to submit conflict of interest statements and proposed resolution plans to the Department of Developmental Services (DDS) and the Council. (W&I Code 4626(I).) Under the Act, as amended by AB 1595, the Director of DDS may waive conflict of interest requirements of a contracting agency (i.e., a regional center) with approval of the State Council. (See W&I Code 4628.)

The Council is being presented with information reviewed under the existing SCDD criteria and process approved by the Council. This approach provides for staff analysis of regional center conflict of interest issues.

**FACTS - WRC Board Member Betty Pearson-Grimble:** Betty Pearson-Grimble is a member of the Westside Regional Center (WRC) board. Ms. Pearson-Grimble's daughter is employed by Premier Healthcare Services (Premier), a regional center provider, to provide respite care and day care services solely to Ms. Pearson-Grimble's son, a regional center consumer.

WRC has a public member recruitment and appointment process which is subject to public review and engagement. The regional center recruits prospective board members by advertising internally within WRC, with their community partners and vendors, at committee and other community meetings, and through public forums such as their website, board meetings, and mass mailings. The board's Nominating Committee recommends new members to the board, who makes the final determination at an open meeting.

Ms. Pearson-Grimble has not previously requested a waiver.

## **DISCUSSION:**

**Conflict of Interest:** DDS Regulation 54520 provides, in part, that a conflict of interest exists when the board member, or a family member of a regional center board member, holds any of the below positions for a provider:

- (1) a governing board member;
  - (2) a board committee member;
  - (3) a director;
  - (4) an officer;
  - (5) an owner;
  - (6) a partner;
  - (7) a shareholder;
  - (8) a trustee;
  - (9) an agent;
  - (10) an employee;
  - (11) a contractor;
  - (12) a consultant;
  - (13) a person who holds any position of management; or
  - (14) a person who has decision or policy making authority.
- (See 17 CCR 54520(a).)

With regard to her daughter's work for Premier, Ms. Pearson-Grimble has a conflict of interest. (See Regulation 54520(a)(10).) She therefore submits the following Conflict of Interest Resolution Plan:

1. Ms. Pearson-Grimble will take no action as a Board member on any matter that would impact Premier or any competitor service provider, and specifically she will recuse herself from any vote on any matter that would impact Premier or any competitor service provider.
2. Ms. Pearson-Grimble will cease taking action on any matter that would impact Premier or any competitor service provider.
3. Ms. Pearson-Grimble will not participate in the vote to approve any report, plan, opinion, recommendation or action regarding Premier or any competitor service provider or any actions creating policy or

approaches that would impact Premier or any competitor service provider.

4. Ms. Pearson-Grimble will not participate in referrals or placement for Premier or any competitor service provider. For any client served by Premier or any competitor service provider, she will not participate in any review or discussion of any client's service issues brought to the attention of the Board; rather, such tasks will be addressed by other Board members or regional center employee/s.
5. Ms. Pearson-Grimble will not participate in any decisions about Purchase of Service authorizations for Premier or any competitor service provider.
6. Ms. Pearson-Grimble will not participate in the preparation, consideration, or any follow-up related to Special Incident Reports from or about Premier or any competitor service providers.
7. Ms. Pearson-Grimble will not create or review any corrective action plans for Premier or any competitor service providers.
8. Ms. Pearson-Grimble will not participate in any action or resolution of any complaints pertaining to Premier or any competitor service providers.
9. Ms. Pearson-Grimble will take no part in decision regarding vendor appeals, or fair hearings involving Premier or any competitor service providers.
10. Ms. Pearson-Grimble will not access vendor files the regional center maintains about Premier, either in electronic or hard copy form, or any competitor service provider.
11. Ms. Pearson-Grimble shall not participate in approving any policies that apply to Premier or any competitor service provider. Instead, these tasks will become the responsibility of the other Board members.
12. Ms. Pearson-Grimble will not be involved in the approval of WRC to a course of action involving Premier or any competitor service provider.

13. The WRC Board of Directors will be informed about this Plan of Action, and they will be informed of the need to ensure that Ms. Pearson-Grimble have no involvement in any action involving or affecting Premier or any competitor service provider.
14. These restrictions only apply to Premier and policies impacting Premier and any competitor service providers. The bulk of Ms. Pearson-Grimble's duties with regard to a vast array of other Board issues and other service providers will remain unchanged, unless the Board work would impact Premier or any competitor service provider. This amounts to a reassignment of a small portion of her duties and will not reduce the value and productivity that Ms. Pearson-Grimble provides to the WRC Board.
15. WRC has received approval from its Board of Directors regarding this waiver.
16. WRC will also ensure the Premier is informed of this Plan to ensure that there is no expectation that Ms. Pearson-Grimble, in her role as Board member, can take part in actions that impact Premier.

The staff recommendation is to approve Ms. Pearson-Grimble's waiver request since the proposed plan otherwise mitigates the opportunity for a resulting conflict of interest.

**COUNCIL STRATEGIC PLAN OBJECTIVE:** None

**PRIOR COUNCIL ACTIVITY:** N/A

**STAFF RECOMMENDATION:** The staff recommendation is to approve Ms. Pearson-Grimble's waiver request.

**ATTACHMENT:** Pearson-Grimble COI reporting statement and resolution plan.

**PREPARED BY:** Legal Counsel Natalie Bocanegra, December 20, 2017.



## NOTIFICATION OF CONFLICT OF INTEREST AND CONFLICT RESOLUTION PLAN

WESTSIDE REGIONAL CENTER BOARD MEMBER  
BETTY PEARSON-GRIMBLE

### I. Law Governing Conflicts of Interest

The prohibition against Regional Center governing board member conflicts of interest has its origin in section 4626 of the Welfare & Institutions Code, subsection (d) of which provides: "The department shall ensure that no regional center employee or board member has a conflict of interest with an entity that receives regional center funding...."

That general prohibition is explained in more detail in Title 17 of the California Code of Regulations section 54520 "Positions Creating Conflicts of Interests for Regional Center Governing Board Members and Executive Directors," which provides in pertinent part:

(a) A conflict of interest exists when a regional center governing board member ...or **family member** of such person is any of the following for a business entity, entity, or provider as defined in section 54505 of these regulations....

- (1) a governing board member
- (2) a board committee member
- (3) a director
- (4) an officer
- (5) an owner
- (6) a partner
- (7) a shareholder
- (8) a trustee
- (9) an agent
- (10) **an employee**
- (11) a contractor
- (12) a consultant
- (13) a person who holds any position of management
- (14) a person who has decision or policymaking authority. (Emphasis added.)

Title 17 of the California Code of Regulations Section 54505 states that: "Business Entity, Entity or Provider" means any individual or business venture from whom or from which the regional center purchases, obtains or secures goods or services to conduct its operations."

Further, Title 17 Section 54533 states:

(a) When a present or potential conflict of interest is identified for a regional center board member, executive director, employee, contractor, agent, or consultant, the present or potential conflict shall be either eliminated or mitigated

and managed through a Conflict Resolution Plan, or the individual shall resign his or her position with the regional center or regional center governing board.

## **II. Conflict of Betty Pearson-Grimble**

Betty Pearson-Grimble is a Board Member at Westside Regional Center (hereinafter "WRC" or "the Regional Center"). As a Board Member, Betty Pearson-Grimble participates on no committees. WRC Executive Director Carmine Manicone confirms that Betty Pearson-Grimble is a productive and valued member of the Board of Directors. Attached as Exhibit A is Betty Pearson-Grimble's completed Conflict of Interest Reporting Statement. Ms. Pearson-Grimble's daughter is employed by Premier Healthcare Services ("Premier") to provide Respite and Day Care for Ms. Pearson-Grimble's son, who is a regional center consumer. As part of her Conflict Resolution Plan, Ms. Pearson-Grimble will remain in her position on the Board of Directors, but refrain from voting on any matter related to Premier Healthcare Services or any service provider which provides Respite, Personal Assistance, Homemaker, Socialization Training (day care), Fiscal Management Services ("FMS") Parent Respite (under FMS), or Parent Day Care (under FMS), as Premier does.

The fact that Betty Pearson-Grimble's daughter is employed by Premier, a vendor of WRC, providing Respite and Day Care to Betty Pearson-Grimble's son creates a direct conflict for Betty Pearson-Grimble. This document constitutes a disclosure of this conflict, a Conflict Resolution Plan to eliminate any adverse consequences from this relationship, and a request for approval of the Conflict Resolution Plan by the State Council on Developmental Disabilities ("SCDD") and the Department of Developmental Services "DDS".

## **III. Facts**

The plan of action proposed herein is designed to eliminate any adverse consequences from the conflict. To better understand how the plan will eliminate any adverse consequences, this request will first provide the facts regarding Betty Pearson-Grimble's duties and responsibilities as a Board member and her work with Premier.

### **A. Betty Pearson-Grimble's Duties as Board Member**

As a Board Member, Betty Pearson-Grimble regularly meets with other Board members of WRC to create policy for the operation of the Regional Center. Policy is developed through recommendations from Board committees and the Executive Director. Direct operation of the Regional Center is delegated to the Executive Director who is hired by the Board. Staff recommendations for policy initiation or modification go the Executive Director, who, in turn, refers them to the Board and/or an appropriate Board committee, as necessary.

Betty Pearson-Grimble's primary duties are as follows:

1. Attendance at monthly Board of Directors meetings, usually held on the first Wednesday of each month at the main WRC office in Culver City at 5901 Green Valley Circle, 3rd Floor Boardroom.

2. Because the regional center is funded under contract with the State of California, Department of Developmental Services, each member of the Board of Directors is required to identify any potential conflict of interest as identified in Welfare and Institutions Code Sections 4626 and 4627.

3. A part of a Board member's responsibility requires him or her to be an informed and active participant on the Board, voting on issues and approving all regional center contracts of over \$250,000. WRC has no contract directly with Premier.

Under the suggested Plan of Action, Betty Pearson-Grimble will remain in her Board position, but will be regulated so that she has no role or involvement with any matter that would impact Premier or any service provider which provides the same services as Premier.

B. Betty Pearson-Grimble's Daughter's Duties at Premier

Betty Pearson-Grimble's daughter provides Respite Care (under FMS) and Day Care (under FMS) to Betty Pearson-Grimble's son. Betty Pearson-Grimble's daughter receives payment for the Respite Care and Day Care through Premier. Betty Pearson-Grimble's daughter does not provide any other services to any other consumer.

IV. Conflict Resolution Plan

The Regional Center and its Executive Director, Carmine Manicone, have concluded that Betty Pearson-Grimble provides substantial value to the Board of WRC. After consideration of the totality of the circumstances and a careful review of the facts, the Executive Director believes it is in the best interests of the Regional Center to create and implement a Conflict Resolution Plan to eliminate any adverse consequences from this relationship and seek approval of this plan by SCDD and DDS.

The first step in the Conflict Resolution Plan is to allow Betty Pearson-Grimble to remain in her position on the Board of Directors, but to cease taking action that might impact Premier or other service providers offering the same services as Premier. This will eliminate any instance in which Betty Pearson-Grimble would have to vote, or take action for or against Premier, and would eliminate any possible action by Betty Pearson-Grimble to recommend Premier or to affect any of its competitors.

The second part of the plan is to insulate Betty Pearson-Grimble from any action regarding Premier or any of its competitors. She would recuse herself from participation in any vote regarding, drafting, planning, or discussion of rules, policies, or restrictions that would impact Premier or its competitors. Any duties that potentially relate to Premier or its competitors or generic policies applicable to such a vendor represent a small portion of the valuable duties Ms. Pearson-Grimble performs on behalf of the Regional Center, and these duties can be easily delegated to other Regional Center Board members. Like other Board members, Betty Pearson-Grimble develops policy through recommendations from the Executive Director, and thus considers numerous service providers on a variety of services.

Further, as the Conflict Resolution Plan details below, when any matter arises with regard to Premier or any of its competitors, Ms. Pearson-Grimble will agree not to be

involved in the decision or vote on such matter. WRC will require Betty Pearson-Grimble to abstain from taking action on the matter, and require the other Board members to take all such actions, including appropriate description of options, recommendations, analysis and ultimate decision and vote.

The Regional Center and Betty Pearson-Grimble suggested Conflict Resolution Plan for this conflict of interest is as follows:

1. Betty Pearson-Grimble will take no action as a Board member on any matter that would impact Premier or any competitor service provider, and specifically she will recuse herself from any vote on any matter that would impact Premier or any competitor service provider.
2. Betty Pearson-Grimble will, cease taking action on any matter that would impact Premier or any competitor service provider.
3. Betty Pearson-Grimble will not participate in the vote to approve any report, plan, opinion, recommendation or action regarding Premier or any competitor service provider or any actions creating policy or approaches that would impact Premier or any competitor service provider.
4. Betty Pearson-Grimble will not participate in referrals or placement for Premier or any competitor service provider. For any client served by Premier or any competitor service provider, she will not participate in any review or discussion of any client's service issues brought to the attention of the Board; rather, such tasks will be addressed by other Board Members or Regional Center employee/s.
5. Betty Pearson-Grimble will not participate in any decisions about Purchase of Service authorizations for Premier or any competitor service providers.
6. Betty Pearson-Grimble will not participate in the preparation, consideration, or any follow-up related to Special Incident Reports from or about Premier or any competitor service providers.
7. Betty Pearson-Grimble will not create or review any corrective action plans for Premier or any competitor service providers.
8. Betty Pearson-Grimble will not participate in any action or resolution of any complaints pertaining to Premier or any competitor service providers.
9. Betty Pearson-Grimble will take no part in decisions regarding vendor appeals, or fair hearings involving Premier or any competitor service providers.
10. Betty Pearson-Grimble will not access vendor files the regional center maintains about Premier, either in electronic or hard copy form or any competitor service provider.

11. Betty Pearson-Grimble shall not participate in approving any policies that apply to Premier or any competitor service provider. Instead, these tasks will become the responsibility of the other Board Members.

12. Betty Pearson-Grimble will not be involved in the approval of WRC to a course of action involving Premier or any competitor service provider.

13. The WRC Board of Directors will be informed about this Plan of Action, and they will be informed of the need to ensure that Betty Pearson-Grimble have no involvement in any action involving or affecting Premier or any competitor service provider.

14. These restrictions only apply to Premier and policies impacting Premier and any competitor service providers. The bulk of Betty Pearson-Grimble's duties with regard to a vast array of other Board issues and other service providers will remain unchanged, unless the Board work would impact Premier or any competitor service provider. This amounts to a reassignment of a small portion of her duties and will not reduce the value and productivity that Betty Pearson-Grimble provides to the WRC Board.

16. WRC has received approval from its Board of Directors regarding this waiver.

17. Finally, WRC will also ensure that Premier is informed of this Plan to ensure that there is no expectation that Betty Pearson-Grimble, in her role as Board member, can take part in actions that impact Premier.

**V. Request Approval of Conflict Resolution Plan**

For the reasons provided above, and in accordance with the Conflict Resolution Plan set forth above, Westside Regional Center hereby requests that DDS approve the Conflict Resolution Plan in this matter.

Respectfully submitted,

By: \_\_\_\_\_  
Betty Pearson-Grimble, WRC Board Member

Date: \_\_\_\_\_

By: \_\_\_\_\_  
Nilo Choudhry, WRC Board President

Date: \_\_\_\_\_

We approve of this Waiver Request for Betty Pearson-Grimble

State Council on Developmental Disabilities

By: \_\_\_\_\_, SCDD

Date: \_\_\_\_\_



# Exhibit A

**Reset Form****CONFLICT OF INTEREST REPORTING STATEMENT  
DS 6016 (Rev. 08/2013)**

The duties and responsibilities of your position with the regional center require you to file this Conflict of Interest Reporting Statement. The purpose of this statement is to assist you, the regional center and the Department of Developmental Services (DDS) to identify any relationships, positions or circumstances involving you which may create a conflict of interest between your regional center duties and obligations, and any other financial interests and/or relationships that you may have. In order to be comprehensive, this reporting statement requires you to provide information with respect to your financial interests.

A "conflict of interest" generally exists if you have one or more personal, business, or financial interests, or relationships that would cause a reasonable person with knowledge of the relevant facts to question your impartiality with respect to your regional center duties. The specific circumstances and relationships which create a conflict of interest are set forth in the California Code of Regulations, title 17, sections 54500 through 54530. You should review these provisions to understand the specific financial interests and relationships that can create a conflict of interest.

Please answer the following questions to the best of your knowledge. If you find a question requires further explanation and/or there is not enough space to thoroughly answer the question, please attach as many additional sheets as necessary, and refer to the question number next to your answer. If the regional center identifies a conflict involving you, it will be required to prepare a conflict resolution plan. Some relevant definitions have been provided in the footnotes to assist you in responding to this statement.

You are required to file this Reporting Statement within 30 days of beginning your employment with the regional center or from the date that you are appointed to the regional center board or advisory committee board. You are then required to file an annual Reporting Statement by August 1st of every year while you remain employed with the regional center or while you are a member of the regional center board or advisory committee board. You must also file a Reporting Statement within 30 days of any change in your status that could result in a conflict of interest. Circumstances that can constitute a change in your status that can require you to file an updated Reporting Statement are described below in footnote one.

**A. INFORMATION OF REPORTING INDIVIDUAL**

Name: Betty Pearson-Grimble Regional Center: Westside Regional Center

Regional Center Position/Title: ☒ Governing Board Member ☐ Executive Director  
☐ Vendor Advisory Committee sitting on Board ☐ Employee  
☐ Contractor ☐ Agent ☐ Consultant

Reporting Status: ☒ Annual ☐ New Appointment (date): \_\_\_\_\_  
☐ Change of Status<sup>1</sup>

If a change in status, date and circumstance of change in status:

1. Please list your job title and describe your job duties at the regional center.

Board of Directors

<sup>1</sup> Change of status includes a previously unreported activity that should have been reported, change in the circumstance of a previously reported activity, change in financial interest, familial relationship, legal commitment, change in regional center position or duties, change in regional center, or change to outside position or duties. See California Code of Regulations, title 17, sections 54531(d) and 54532(d).

- ☒ Governing Board Member
- ☐ Vendor Advisory on Board
- ☐ Executive Director
- ☐ Employee/Other

2. Do you or a family member<sup>2</sup> work for any entity or organization that is a regional center provider or contractor?  
☒ yes ☐ no -- If yes, provide the name of the entity or organization and describe what services it provides for the regional center or regional center consumers. If the provider or contractor is a state or local governmental entity, provide the specific name of the state or local governmental entity and describe your job duties at the state or local governmental entity.  
*My daughter is a employee of premier she works to assist my son with special needs*
3. Do you or a family member own or hold a position<sup>3</sup> in an entity or organization that is a regional center provider or contractor? ☐ yes ☒ no -- If yes, provide the name of the entity or organization, describe what services it provides for the regional center or regional center consumers, and describe your or your family member's financial interest.
4. Are you a regional center advisory committee board member? ☐ yes ☒ no -- If yes, are you a member of the governing board or owner or employee of an entity or organization that provides services to the regional center or regional center consumers? ☐ yes ☐ no -- If yes, provide the name of the entity or organization and describe what services it provides for the regional center or regional center consumers.
5. If you are a regional center advisory committee board member and answered yes to all the questions in Question 4 above, do any of the following apply to you: (a) are you an officer of the regional center board; (b) do you vote on purchasing services from a regional center provider; or (c) do you vote on matters where you might have a financial interest? ☐ yes ☒ no -- If yes, please explain.

<sup>2</sup> Family member includes your spouse, domestic partner, parents, stepparents, grandparents, siblings, stepsiblings, children, stepchildren, grandchildren, parent-in-laws, brother-in-laws, sister-in-laws, son-in-laws and daughter-in-laws. See California Code of Regulations, title 17, sections 54505(f).

<sup>3</sup> For purposes of this question, hold a position generally means that you or a family member is a director, officer, owner, partner, employee, or shareholder of an entity or organization that is a regional center provider or contractor. For a specific description of positions that create a conflict of interest in a regional center provider or contractor see the California Code of Regulations, title 17, sections 54520 and 54526.

<input checked="" type="checkbox"/> Governing Board Member
<input type="checkbox"/> Vendor Advisory on Board
<input type="checkbox"/> Executive Director
<input type="checkbox"/> Employee/Other

6. Do any of the decisions you make when performing your job duties with the regional center have the potential to financially benefit you or a family member<sup>4</sup>? [Note: Governing board members do not have to answer "yes" to this question if the financial benefit would be available to regional center consumers or their families generally].  
☐ yes ☒ no -- If yes, please explain.

7. Are you responsible for negotiating, making,<sup>5</sup> executing or approving contracts on behalf of the regional center? ☒ yes ☐ no -- If yes, please explain.

We vote on contracts over \$250 K

8. Do you have a financial interest in any contract<sup>6</sup> with the regional center? ☐ yes ☒ no -- If yes, did you negotiate, make; execute or approve the contract on behalf of the regional center? ☐ yes ☐ no -- If yes, please explain.

9. Do any of your family members have a financial interest in any contract with the regional center? ☐ yes ☒ no  
 If yes, did you negotiate, make, execute or approve the contract on behalf of the regional center? ☐ yes ☐ no  
 If yes, please explain.

<sup>4</sup> Generally, a decision can financially benefit you or a family member if the decision can either directly or indirectly cause you or a family member to receive a financial gain or avoid a financial loss. For a specific description of the types of decisions that can result in a financial benefit to you or a family member see the California Code of Regulations, title 17, sections 54522 and 54527.

<sup>5</sup> California Code of Regulations, title 17, sections 54523(b)(2) and 54528(b)(2) describes the types of conduct which constitute involvement in the making of a contract.

<sup>6</sup> For purposes of questions 8 and 9, a financial interest in a contract generally means any direct or indirect interest in a contract that can cause you or a family member to receive any sort of financial gain or avoid any sort of financial loss irrespective of the dollar amount. California Code of Regulations, title 17, sections 54523 and 54528 define when financial interests in a contract will occur.

<input checked="" type="checkbox"/> Governing Board Member
<input type="checkbox"/> Vendor Advisory on Board
<input type="checkbox"/> Executive Director
<input type="checkbox"/> Employee/Other

10. Do you evaluate employment applications or contract bids that are submitted by your family member(s)?  
☐ yes ☒ no – If yes, please explain.

11. Your job duties require you to act in the best interests of the regional center and regional center consumers. Do you have any circumstances or other financial interests not already discussed above that would prevent you from acting in the best interests of the regional center or its consumers? ☐ yes ☒ no – If yes, please explain.

## B. ATTESTATION

I Betty P. Grumble (print name) HEREBY CONFIRM that I have read and understand the regional center's Conflict of Interest Policy and that my responses to the questions in this Conflict of Interest Reporting Statement are complete, true, and correct to the best of my information and belief. I agree that if I become aware of any information that might indicate that this statement is not accurate or that I have not complied with the regional center's Conflict of Interest Policy or the applicable conflict of interest laws, I will notify the regional center's designated individual immediately. I understand that knowingly providing false information on this Conflict of Interest Reporting Statement shall subject me to a civil penalty in an amount up to fifty thousand dollars (\$50,000) pursuant to Welfare and Institutions Code section 4626.

Signature Betty P. Grumble Date July 12, 2017

### INTERNAL USE ONLY

Date this Statement was received by Reviewer:

The reporting individual ☒ does ☐ does not have a ☐ present ☒ potential conflict of interest

Signature of Designated Reviewer

Date Review Completed

Carmen Martinez

8/03/17

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# **SPONSORSHIP REQUESTS**

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## **COUNCIL MEETING AGENDA ITEM DETAIL SHEET**

**ISSUE:** Care Parent Network.

**AMOUNT REQUESTED:** \$990.00

**BACKGROUND:** The California State Council on Developmental Disabilities (Council) supports events that promote self-advocacy, leadership and education, thereby enabling people with developmental disabilities and their family members to expand their knowledge and skills.

**ANALYSIS/DISCUSSION:** The Autism Star Conference, hosted by Care Parent Network, is a biennial conference for families of children (birth to 16 years old) with autism in the San Francisco Bay area, primarily Contra Costa and Alameda Counties. The goal of the conference is to provide support, training, advocacy, resources to parents, guardians, primary caregivers and other family members of children with autism.

The conference is planned and advertised as an event for parents, primary caregivers and other family members of children with autism. Almost all of the attendees are expected to be family members of children with autism or other developmental disabilities. Professionals may attend, but the conference is not targeted at them. They expect about 100 attendees, not counting presenters, conference volunteers and individuals who staff the vendor/resource tables.

The information that family members receive from the talks, resource packet provided to each participant, and the resource/vendor fair will help them to become more informed about autism and services and supports for individuals with autism. The information being provided will help family members be able to make informed choices and decisions on behalf of their children with autism.

SCDD's funding to help defray the cost of translation of conference materials into Spanish and the cost of translators at the conference.

Five of the presenters are parents of children with autism. Four presenters are professionals who work with individuals with autism and developmental disabilities.

The event is scheduled for March 17, 2018 in Pleasant Hill, CA.

**COUNCIL STRATEGIC PLAN GOAL/OBJECTIVE:** Individuals with developmental disabilities, their families and their support and/or professional staff will increase their knowledge and skills so as to effectively access needed educational and/or community-based services through at least 225 trainings, conferences, workshops, webinars, and/or resource materials developed by the Council on topics such as rights under IDEA, rights under California's Lanterman Act etc. on an annual basis.

**PRIOR COUNCIL ACTIVITY:** Since the beginning of FY 2017-18, the Council has awarded \$8,991 in funds for sponsorship requests. The Council allocates \$25,000 per fiscal year for sponsorships. The fiscal year began July 1, 2017.

**STAFF RECOMMENDATION:** Approve Care Parent Network's for sponsorship.

**ATTACHMENTS(S):** Care Parent Network's request for sponsorship.

**PREPARED:** Kristie Allensworth, December 21, 2017

## Request for SCDD Sponsorship

Request date: December 3, 2017

Requesting organization: Care Parent Network  
1340 Arnold Dr. Suite 115  
Martinez, CA 94553

Contact: Deborah Penry  
925-313-0999 ext 107  
[dpenry@careparentnetwork.org](mailto:dpenry@careparentnetwork.org)

Event: Autism Star Conference

Date: March 17, 2018 from 8:00 a.m. to 2:30 p.m.

Location: Diablo Valley College, 321 Golf Club Rd., Pleasant Hill, CA 94523

Amount of funding requested: \$990

Approximate total cost of event: \$9,230

### Conference description:

*Event objective:* The Autism Star Conference is a biennial conference for families of children (birth to 16 years old) with autism in the San Francisco Bay area, primarily Contra Costa and Alameda Counties. The goal of the conference is to provide support, training, advocacy, resources ("star") to parents, guardians, primary caregivers and other family members of children with autism.

*Target audience:* The conference is planned and advertised as an event for parents, primary caregivers and other family members of children with autism. Almost all of the attendees are expected to be family members of children with autism or other developmental disabilities. Professionals may attend, but the conference is not targeted at them. In 2016, 65 people attended the conference. This year the location we have chosen is more accessible with better parking, so we expect about 100 attendees, not counting presenters, conference volunteers and individuals who staff the vendor/resource tables.

*How event will help families:* The information that family members receive from the talks, resource packet provided to each participant (approximately 80 pages per packet), and the resource/vendor fair will help them to become more informed about autism and services and supports for individuals with autism. Family members will thus be able to make informed choices and decisions on behalf of their children with autism.

Utilization of SCDD funding: We plan to use SCDD funding to help defray the cost of translation of conference materials into Spanish and the cost of translators at the conference.

Conference presenters: The conference program always emphasizes parents' and family members' perspectives. The presentation and representation of the family perspective is a core value around which the conference is organized. Five of the presenters, Rosa Valledor, Deborah Penry, Caroline Ortiz, Vi Ibarra and Patricia Albeno, are parents of children with autism. Four presenters, Ann England (CDE Diagnostic Center Northern CA), Edith Molinier (ABC School, Richmond, CA), and David Hagerty (Diablo Valley College Disabled Students Services), and a Kaiser autism researcher (TBD), are professionals who work with individuals with autism and developmental disabilities.

Outreach: Care Parent Network will be responsible for outreach in Contra Costa County, and Family Resource Navigators will be responsible for outreach in Alameda County. We have already started to circulate "save the date" flyers in the community. We will partner with Regional Center of the East Bay, SELPAs, and the

Developmental Disabilities Councils to distribute flyers and information. We will send information to families and professionals in our database, and we will post information and registration links on Facebook.

Budget: A small event registration fee is charged (\$25 per person, or \$40 for two adults from the same family) to defray the cost of the venue and food provided to participants during the day-long conference. We make scholarships and child care stipends available to cover registration fees and child care to enable families to attend.

<i>Estimated expenses</i>	<i>Amount (\$)</i>
Venue – Diablo Valley College (no charge because DVC is a conference partner)	0
DVC tech support (3 hrs @ \$40 per hr)	120
DVC maintenance support for set up and clean up (4 hrs @ \$40 per hr)	160
Table rental for resource fair (\$20 per table)	400
Sound equipment rental	100
Printing conference materials (resource packets @ 80 pgs, registration forms, etc.)	2,000
Supplies (folders, labels, paper, pens, name tags, signs, etc.)	850
Food (continental breakfast, box lunches, etc. -- \$25 per person)	2500
Translation of conference materials (flyers, forms, PowerPoints, resource pages, etc.)	1000
Translation services at conference (2 translators for 6 hrs, 1 translator for 3 hrs @\$40 per hr)	600
Registration scholarships (to offset registration fees as requested)	500
Child care stipends (to allow parents to be able to attend conference)	<u>1,000</u>
TOTAL PROJECTED EXPENSES	\$9,230

(Note—total expenses for the 2016 conference were \$7,600 for 65 participants; we are planning for 100 participants this time.)

<i>Projected funding sources</i>	
Care Parent Network funds available to support conference	\$3,000
Sponsorship donation from Manos Home Care	2,000
Estimated income from registration fees (40 individuals @ \$25 each, 15 families @\$40 each)	1,600
Estimated income from vendors' tables (10 @ \$50 each; nonprofit organizations do not pay)	<u>500</u>
TOTAL PROJECTED INCOME	\$7,100

AMOUNT THAT WE ARE REQUESTING FROM SCDD for translation expenses	\$ 990
------------------------------------------------------------------	--------

Past SCDD sponsorships and grants: none

Recommendation from a family organization:

A letter of support from the Regional Center of the East Bay is attached.

*Please note as well:* Care Parent Network (Care) is a family organization and is the lead organizer of the conference. Care is the Family Resource Center for Contra Costa County and a member of the Family Resource Centers Network of California. All staff members of Care Parent Network are parents of children with special needs.





November 29, 2017

California State Council on Developmental Disabilities  
Bay Area Office  
1515 Clay Street, Suite 300  
Oakland, CA 94612

Dear Sponsorship Committee,

I am writing this letter in support of a sponsorship for the 2018 Autism Star Conference to be held on March 17, 2018 at Diablo Valley College in Pleasant Hill. Regional Center of the East Bay (RCEB) has always supported individuals with developmental disabilities and their families to achieve success and participate in their communities. This conference is put on by parents for parents, guardians, and caregivers of children ages birth through age 16 who are diagnosed with Autism.

This sponsorship would allow for funding of translation and interpretation services needed to include a diverse range of families interested in this conference. RCEB takes pride in hosting and supporting events, such as this conference, that promote diversity, equity, and outreach to individuals and families in emerging and isolating communities. Finding out a child is diagnosed with Autism and learning how to best meet that child's needs is a process many of RCEB's families experience. Speakers and workshops will help parents, guardians, and caregivers navigate this process and leave with resources that can help with day to day activities. I believe this conference will greatly benefit the children and youth we serve at RCEB.

Thank you,

Eliva Osorio-Rodriguez  
Associate Director of Children's Services  
Regional Center of the East Bay



## **Sponsorship Request Application Checklist**

The checklist below will help you identify the information needed to complete the sponsorship request application. We suggest you print this page to use while you gather information for the sponsorship application.

To allow sufficient time for processing and review, we recommend that sponsorship requests be submitted at least 3 months before an event. Please submit this checklist with the sponsorship request application.

### **Information Checklist**

- ☒ Name of your Company/Organization
- ☒ Name of Project/Event/Program
- ☒ Project/Event Date
- ☒ Contact Name
- ☒ Contact Email, Address and Phone Number
- ☒ Amount of Funding Requested
- ☒ Approximate Total Cost of Project/Event
- ☒ The answer to this question: How this event/conference will increase the ability of consumers and family members to exercise control, choice and flexibility in the services and supports they receive, including a description of the specific way SCDD's funding would be utilized
- ☒ Event/Program Objectives
- ☒ Target Audience: The number and type of expected attendees (i.e. teachers, providers, administrators, etc.), including how many of those attendees are expected to be consumers and family members
- ☒ The answer to this question: How many presenters or panelists will participate in the event and what number of the presenters or panelists will be consumers
- ☒ A list of other sponsors/major contributors
- ☒ The answer to this question: How you will conduct outreach to increase consumer and family involvement in the conference
- ☒ Have you included a complete and total budget, including the amount you are requesting (\$999 limit), details on the amount and sources of other funds solicited or obtained

- ☒ Have you included a list of other SCDD sponsorships and grants you have previously requested and/or received
- ☒ Have you included a letter of recommendation from a consumer and/or family organization that supports your efforts to improve consumer and family self-advocacy

## COUNCIL AGENDA ITEM DETAIL SHEET

**ISSUE:** Sponsorship request from Family Voices of California.

**BACKGROUND:** The California State Council on Developmental Disabilities (SCDD) supports events that promote self-advocacy, leadership and education, thereby enabling people with developmental disabilities and their family members to expand their knowledge and skills.

**ANALYSIS/DISCUSSION:** Family Voices of California is requesting a \$999 sponsorship for the 2018 Annual Health Summit. This event is scheduled for February 26, 2018 in Sacramento.

This annual event provides the opportunity for families and consumers with special needs to hear from State Administration representatives, legislators, staff, and advocates about critical health policy issues that affect their children and communities.

During the Health Summit families and providers will learn about the proposed changes to Medi-Cal program; the importance of Family Engagement on Disability related committees; the Mental Health system in CA and identify what works, where there are challenges and how families can participate; Transition of Care from pediatric to adult care and how to become a self-advocate in that process; the current issues facing consumers with developmental disabilities in CA. There will be a specific track for teens and young adults with special health care needs and developmental disabilities. These sessions will be addressing the current issues facing this vulnerable population in California. There will be opportunities for consumers with developmental disabilities to speak on a panel and/or give input at round table discussions.

There will be three plenary panels with at least 20 speakers. At least 7 of those speakers will be consumers. They are expecting 175 attendees at the 2018 Health Summit, 100 of which will be consumers and/or family members. Other attendees include State administration, advocacy groups, Insurers, Regional Center staff and Family Resource Center staff from around the state.

SCDD funds will be used to defray the costs of meeting room rental costs and materials for the youth/young adult track.

Outreach about the Health Summit is conducted through the FVCA Council Member Agencies (CMAs), monthly webinars, FVCA website and bi-weekly news digests.

Each CMA is responsible for identifying several family representatives of children and youth with special health care needs and developmental disabilities, inviting them to the Summit and arranging for the support they need to attend.

**COUNCIL STRATEGIC PLAN GOAL/OBJECTIVE:** Individuals with developmental disabilities, their families and their support and/or professional staff will increase their knowledge and skills so as to effectively access needed educational and/or community-based services through at least 225 trainings, conferences, workshops, webinars, and/or resource materials developed by the Council on topics such as rights under IDEA, rights under California's Lanterman Act etc. on an annual basis.

**PRIOR COUNCIL ACTIVITY:** Since the beginning of FY 2017-18, the Council has awarded \$8,991 in funds for sponsorship requests. The Council allocates \$25,000 per fiscal year for sponsorships. The fiscal year began July 1, 2017.

**STAFF RECOMMENDATION:** Approve Family Voices of California's for sponsorship.

**ATTACHMENTS(S):** Family Voices of California's request for sponsorship request for sponsorship.

**PREPARED:** Kristie Allensworth      December 21, 2017

**Alpha Resource Center**  
Family First Program  
4501 Cathedral Oaks Road  
Santa Barbara, CA 93110  
805/683-2145 F: 805/967-3647  
[info@alphasb.org](mailto:info@alphasb.org)

**Eastern Los Angeles Family Resource Center**  
1000 South Fremont Ave.  
Suite 6050, Unit 35  
Alhambra, CA 91803  
626-300-9171 F: 626-300-9164  
[info@elafrc.org](mailto:info@elafrc.org)

**Exceptional Family Resource Center**  
9245 Sky Park Court, Ste #130  
San Diego, CA 92123  
619/594-7416 F: 858/268-4276  
[efrc@projects.sdsu.edu](mailto:efrc@projects.sdsu.edu)

**Exceptional Parents Unlimited**  
4440 North First Street  
Fresno, CA 93726  
559/229-2000 F: 559/229-2956  
[rguilmont@exceptionalparents.org](mailto:rguilmont@exceptionalparents.org)

**Family Resource Network**  
5232 Claremont Avenue  
Oakland, CA 94618  
510/547-7322 F: 510/858.8354  
[fm@fmoakland.org](mailto:fm@fmoakland.org)

**Rowell Family Empowerment of Northern California, Inc.**  
962 Maraglia  
Redding, CA 96002  
530/226-5129 F: 530/226-5141  
Toll: 877/227-3471  
[wendyl@rfenc.org](mailto:wendyl@rfenc.org)

**Support for Families of Children with Disabilities**  
1663 Mission Street, 7<sup>th</sup> Floor  
San Francisco, CA 94103  
415/282-7494 F: 415/282-1226  
[info@supportorfamilies.org](mailto:info@supportorfamilies.org)

**Westside Family Resource and Empowerment Center**  
5901 Green Valley Circle #320  
Culver City, CA 90230-8953  
310/258-4063 F: (310) 338-9864  
[family@westsiderc.org](mailto:family@westsiderc.org)

**FAMILY VOICES OF CALIFORNIA**  
1663 Mission Street, 7<sup>th</sup> Floor  
San Francisco, CA 94103  
415/282-7494 F: 415/282-1226  
[info@familyvoicesofca.org](mailto:info@familyvoicesofca.org)  
[www.familyvoicesofca.org](http://www.familyvoicesofca.org)

November 15, 2017

State Council on Developmental Disabilities  
Attention: Kristie Allensworth

**Re: Request for Sponsorship**  
**2018 Family Voices of CA Health Summit**

To whom it may concern:

I am writing on behalf of Family Voices of California (FVCA) to request \$999.00 for sponsorship support for the FVCA 2018 annual Health Summit to be held February 26<sup>th</sup> at the Holiday Inn in Sacramento. This annual event provides the opportunity for families and consumers with special needs to hear from State Administration representatives, legislators, staff, and advocates about critical health policy issues that affect their children and communities.

This year we will again be actively involving the youth and young adult consumers with developmental disabilities in the Summit. As described in the attached materials, consumers will participate on presentation panels and round table discussions. SCDD sponsorship funds will be used to defray the costs of the meeting room rental fees that will support the attendance of consumers with developmental disabilities. SCDD funds will not be used for any legislative activities.

Outreach about the Health Summit is conducted through the FVCA Council Member Agencies (CMAs), monthly webinars, FVCA website and biweekly news digests. Each CMA is responsible for identifying several family representatives of children and youth with special health care needs, inviting them to the Summit and arranging for the support they need to attend.

For 2018 we would like to increase the number of families and professionals and hope to have many California Counties represented. With your help, we can do this and make a difference for children and youth with special health care needs. We are requesting a sponsorship of a \$999 from SCDD and have attached an event budget that lists other committed and projected funders. Sponsors will be prominently recognized in program materials, outreach on the Family Voices of California website, and in follow-up materials and publications.

Sincerely,



Pip Marks  
Project Director  
Family Voices of California



Addendum to letter of request

**1. a. The name, date, location and description of your event/conference;**

**Family Voices of California**

2018 Family Voices of CA Annual Health Summit

February 26<sup>th</sup>, 2018

Holiday Inn, 300 J Street, Sacramento

This annual event provides the opportunity for families and consumers with special needs to hear from State Administration representatives, legislators, staff, and advocates about critical health policy issues that affect their children and communities.

**Contact:**

Pip Marks, Project Director, FVCA

[pipmarks@familyvoicesofca.org](mailto:pipmarks@familyvoicesofca.org)

415-282-7494 ext. 123

1663 Mission Street, suite 700, San Francisco, CA 94103

**Event Objectives:**

During the Health Summit families and providers will learn about the proposed changes to Medi-Cal program; the importance of Family Engagement on Disability related committees; the Mental Health system in CA and identify what works, where there are challenges and how families can participate; Transition of Care from pediatric to adult care and how to become a self-advocate in that process; the current issues facing consumers with developmental disabilities in CA.

**b. How this event/conference will increase the ability of consumers and family members to exercise control, choice and flexibility in the services and supports they receive, including a description of the specific way SCDD's funding would be utilized;**

There will be a specific track for teens and young adults with special health care needs and developmental disabilities. These sessions will be addressing the current issues facing this vulnerable population in California. There will be opportunities for consumers with developmental disabilities to speak on a panel and/or give input at round table discussions.

SCDD funds will be used to defray the costs of meeting room rental costs and materials for the youth/young adult track.

- c. **How many presenters or panelists will participate in the event and what number of the presenters or panelists will be consumers;**

The agenda (draft attached) for the day is not finalized but there will be three plenary panels with at least 20 speakers. At least 7 of those speakers will be consumers.

- d. **The number and type of expected attendees (i.e. teachers, providers administrators, etc.), including how many of those attendees are expected to be consumers and family members;**

We are expecting 175 attendees at the 2018 Health Summit - 100 of whom will be consumers and/or family members. Other attendees include State administration, advocacy groups, Insurers, Regional Center staff and Family Resource Center staff from around the state.

- e. **How you will conduct outreach to increase consumer and family involvement in the conference;**

Outreach about the Health Summit is conducted through the FVCA Council Member Agencies (CMAs), monthly webinars, FVCA website and bi-weekly news digests. Each CMA is responsible for identifying several family representatives of children and youth with special health care needs and developmental disabilities, inviting them to the Summit and arranging for the support they need to attend

- f. **A complete and total budget, including the amount you are requesting (\$999 limit), details on the amount and sources of other funds solicited or obtained;**

Budget attached

- g. **A list of other SCDD sponsorships and grants you have previously requested and/or received;**

2011, 2012, 2013 and 2016 Health Summits – received \$999 sponsorships.

- h. **A letter of recommendation from a consumer and/or family organization that supports your efforts to improve consumer and family self-advocacy.**

Letter of recommendation attached

2. **During the event, provide acknowledgement that consumer and family participation in the event is made possible, in part, with funding from the California State Council on Developmental Disabilities.**

SCDD will be acknowledged on all Health Summit promotional materials.

**2018 Health Summit February 26, 2018**

<b>Projected REVENUE</b>	<b>2018 Requested</b>	<b>2018 Pledged</b>
CA Wellness	\$7,500.00	
Lucile Packard Foundation for Children's Health	\$5,000.00	
California Children's Hospital Association	\$5,000.00	
Molina Health Plan	\$5,000.00	
Disability Rights California	\$1,000.00	\$1000.00
Miller Children's Hospital	\$1,000.00	
Valley Children's HealthCare	\$1,000.00	\$1,000.00
Children's Hospital Los Angeles	\$2,500.00	\$2,500.00
Children's Specialty Care Coalition	\$1,000.00	\$1,000.00
CenCal Health Plan	\$2,500.00	\$2,500.00
CalOptima	\$2,500.00	\$2,400.00
Lucile Packard Children's Hospital	\$2,500.00	\$2,500.00
UCSF - neurology, via Dr. Amy Whittle	\$1,000.00	
UCSF Benioff Children's Hospital Pediatrics	\$1,000.00	
Central CA Alliance for Health	\$2,500.00	\$2,400.00
Partnership Health Plan of CA	\$2,500.00	\$1,600.00
Tri-Counties Regional Center	\$1,000.00	
State Council on Dev. Disabilities (SCDD)	\$999.00	
Together We Grow	\$500.00	\$500.00
Other Donations (professionals) EVENTBRITE	\$2,001.00	\$100.00
<b>Total Revenue</b>	<b>\$48,000.00</b>	<b>\$17,500.00</b>
<b>Projected EXPENSES</b>		
Health Summit and Leg. Day Stipends	\$3,500.00	
Childcare	\$1,000.00	
Translation/Interpretation	\$2,000.00	
Food	\$20,000.00	
Travel	\$9,000.00	
Lodging	\$10,000.00	
Meeting AV	\$1,500.00	
Meeting supplies	\$1,000.00	
<b>Total Expenses</b>	<b>\$48,000.00</b>	



**November 14, 2017**

**State Council of Developmental Disabilities  
1507 21<sup>st</sup> Street, Suite 210  
Sacramento, CA 95811**

**Dear Council members of SCDD:**

**Eastern Los Angeles Family Resource Center (ELAFRC) supports the sponsorship of Family Voices of California (FVCA) by the State Council on Developmental Disabilities (SCDD). Family Voices of CA has a rich history of preparing self-advocates and families to understand and engage in the service delivery system. Through attendance of the 16<sup>th</sup> annual Health Summit and Legislative Day, families and youth will be side by side with providers, policymakers, advocates, state agencies, insurers, and other stakeholders. Together they will identify and address challenges that affect California's children and youth, to be better prepared as self-advocates and be able to provide informed input to improve and/or develop services that remain flexible in supporting the changing needs of families.**

**If you have any questions, please don't hesitate to contact me via email at [ybaptiste@elafrc.net](mailto:ybaptiste@elafrc.net) or by phone at (626) 300-9171.**

**Thank you,**

**Yvette O. Baptiste  
Executive Director  
Eastern Los Angeles Family Resource Center**

# FAMILY VOICES of California

## Youth Health Transition Summit Agenda

February 26, 2018

Holiday Inn, 300 J Street, Sacramento

- |                 |                                                                                                                                                                                                                                                                                                                                                                          |
|-----------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 7:30 - 8:30AM   | <b>Registration and Continental Breakfast</b>                                                                                                                                                                                                                                                                                                                            |
| 8:30 - 9:00AM   | <b>Welcome and Overview of Summit</b><br>Yvette Baptiste, Family Voices of California Council Member, Eastern Los Angeles Family Resource Center<br><b>Summit Day Facilitators:</b><br>Catherine Blakemore, Disability Rights California<br>Kausha King, Parent, FVCA Project Leadership Graduate                                                                        |
| 9:00 - 9:30AM   | <b>Key Note Speaker: Jimmy Kimmel (invited)</b>                                                                                                                                                                                                                                                                                                                          |
| 9:30 - 10:15AM  | <b>Panel: Medicaid/Medi-Cal: Federal and State Threats to ACA/Health Systems</b><br>Edwin Park<br>Scott Graves or Kristin Schumacher<br>Jennifer Kent or Mari Cantwell from DHCS<br>Consumers of Medi-Cal Services                                                                                                                                                       |
| 10:15 - 10:45AM | <b>Discussion – break into smaller groups</b>                                                                                                                                                                                                                                                                                                                            |
| 10:45– 11:00AM  | <b>Break</b>                                                                                                                                                                                                                                                                                                                                                             |
| 11:00 – 12:15PM | <b>Youth Track: Moving from Youth to Adult Healthcare Systems</b>                                                                                                                                                                                                                                                                                                        |
| 12:15 - 1:30PM  | <b>Lunch with Legislators Panel:</b><br>Their perspective on current CA health related issues affecting CYSHCN, people with DD <ul style="list-style-type: none"><li>• Assm. Jim Wood</li><li>• Sen. Richard Pan</li><li>• Sen. Holly Mitchell</li><li>• Assemblymember Cecilia Aguiar-Curry</li><li>• Assm. Jeff Stone</li><li>• Representative David Valadao</li></ul> |

# FAMILY VOICES of California

1:30 - 3:00PM	<b>Youth Panel: My Healthcare Transition Experience</b>
3:00 - 3:15PM	<b>Break</b>
3:15 - 4:30 PM	<b>Youth Track: Planning My for My Own Healthcare Transition</b>
4:30 - 5:00PM	<b>Keynote Speaker:</b> Senator Holly Mitchell
5:00 - 5:30PM	<b>Closing Remarks &amp; Legislative Day Information</b> <b>Evaluations:</b> Catherine Blakemore and Kausha King





## **Sponsorship Request Application Checklist**

The checklist below will help you identify the information needed to complete the sponsorship request application. We suggest you print this page to use while you gather information for the sponsorship application.

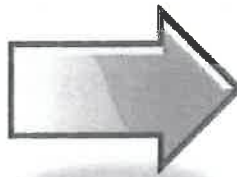
To allow sufficient time for processing and review, we recommend that sponsorship requests be submitted at least 3 months before an event. Please submit this checklist with the sponsorship request application.

### **Information Checklist**

- ☒ Name of your Company/Organization
- ☒ Name of Project/Event/Program
- ☒ Project/Event Date
- ☒ Contact Name
- ☒ Contact Email, Address and Phone Number
- ☒ Amount of Funding Requested
- ☒ Approximate Total Cost of Project/Event
- ☒ The answer to this question: How this event/conference will increase the ability of consumers and family members to exercise control, choice and flexibility in the services and supports they receive, including a description of the specific way SCDD's funding would be utilized
- ☒ Event/Program Objectives
- ☒ Target Audience: The number and type of expected attendees (i.e. teachers, providers, administrators, etc.), including how many of those attendees are expected to be consumers and family members
- ☒ The answer to this question: How many presenters or panelists will participate in the event and what number of the presenters or panelists will be consumers
- ☒ A list of other sponsors/major contributors
- ☒ The answer to this question: How you will conduct outreach to increase consumer and family involvement in the conference
- ☒ Have you included a complete and total budget, including the amount you are requesting (\$999 limit), details on the amount and sources of other funds solicited or obtained

- ☒ Have you included a list of other SCDD sponsorships and grants you have previously requested and/or received
- ☒ Have you included a letter of recommendation from a consumer and/or family organization that supports your efforts to improve consumer and family self-advocacy

# **SSAN REPORT**



### **Report from SSAN to SCDD by David Forderer** **Highlights from the SSAN and SAAC Activities**

SSAN met on December 6<sup>th</sup> and 7<sup>th</sup> at the Crown Plaza Hotel in Sacramento. Here is a summary on their recent activity:

- The central theme for the meeting was employment.
- SSAN Members welcomed New Member Sean Sullivan from the Orange County Region.
- SSAN workgroups on Self-Determination, Employment, Legislative, and Newsletter/Communication met to review their goals, measurable objectives, and set their meeting dates for 2018
- SCDD Executive Director Aaron Carruthers updated members on the SCDD Structural Deficit, news from Washington D.C. and SCDD's efforts to protect Medicaid.
- SSAN member Kecia Weller gave a presentation on the benefits of employment and how to manage working and receiving public benefits.
- SCDD HR provided SSAN members with information about the LEAP hiring process and some general good practices on interviewing. SSAN requested that SCDD HR give a follow-up presentation on mock interviews at their March meeting.
- SSAN members reported on their local activities and efforts to increase advocacy in their communities.

- On the second day of the meeting, members approved the SSAN 2016-2017 Annual Report and discussed their appreciation for staff support for SSAN.
- Members approved the 10<sup>th</sup> edition of the SSAN Newsletter
- SSAN members were updated on the budget for SSAN.
- SSAN members were informed of the current vacancy to SSAN for the Central Coast Region and told that the regional manager from Central Coast would be sending out the application materials soon.
- The next SSAN meeting will focus on employment with a follow-up training on interview etiquette.

The next SSAN meeting will be on March 28<sup>th</sup> and 29<sup>th</sup> in Sacramento.



## SSAN 2016-2017 Annual Report Summary



### SSAN Mission Statement

The Statewide Self Advocacy Network (SSAN) promotes leadership and builds bridges that strengthen advocacy among disability communities by focusing on policy change.

SSAN is a project of the California State Council on Developmental Disabilities. SSAN has 20 members representing the 12 regional offices of the State Council on Developmental Disabilities, SCDD, state agencies and nonprofits whose missions are to educate, empower and provide services and support to people with intellectual and developmental disabilities. SSAN is a training network built on the idea that SSAN members will train other self-advocates in their communities on issues that impact their lives and will produce stronger advocates who will strengthen the self-advocacy movement across California. SSAN is one of the primary vehicles which SCDD uses to achieve Goal #1 of the State Plan.

SCDD Self-Advocacy Goal #1 in Plain Language – “Californians with developmental disabilities and their families will have increased support to advocate for their rights to achieve: self-determination, integration, and inclusion within their communities.”

The 2016-2017 year was full of many accomplishments for SSAN. During the 2016-2017 Federal Fiscal Year, the following structural changes took place:

- At the December 2016 meeting, SSAN held elections for the Officer Positions of Chair, Vice Chair, and Secretary
- SSAN adopted a Memorandum of Understanding between the State Council on Developmental Disabilities, which was signed by both the SCDD Executive Director and the Chair of SSAN



- SSAN revised and approved changes to the bylaws, removing outdated language
- SSAN formalized the membership application process for new regional representatives

SSAN met 4 times during December 2016 to September 2017 and received trainings and presentations on the following topics:

- ABLE Act
- Affordable and Accessible Housing
- Bagley Keene
- Bullying
- CFILC presentation on Voice Activated Ipad program
- Emergency Preparedness Training
- Employment Panel
- Healthcare Letter Writing campaign
- How to Fire your Attendant
- How to give the ABLE Act Presentation
- Office of Emergency Services
- Public Policy from the Arc of California
- Self-Advocacy Presentation
- Silence = Violence info and webinar
- SSAN Bylaws revisions
- Supported Decision Making
- Tips on How to Work with First Responders

The SSAN Leadership identified plans for:

- Continued Communication through Newsletters
- Legislative Advocacy
- Training Development
- Networking

Each meeting includes member reports, legislative updates, training for members, and resources to distribute.

Each member is on at least one workgroup. There were a total of 73 workgroup meetings.

- Employment met 9 times
- Self-Determination met 9 times
- Newsletter met 9 times
- Legislation met 6 times
- Officers met 40 times

SSAN Members produced 4 Newsletters

***SSAN Conducted 131 outreach and trainings events in their communities on all 6 of the State Plan goals reaching a total of 7,880 people.***

# **COMMITTEE REPORTS**



**DRAFT**

**Executive Committee Meeting Minutes  
December 15, 2017**

**Attending Members**

Charles Nutt (SA)  
Janelle Lewis (FA)  
Jenny Yang (SA)  
Michele Villados  
Sandra Smith (FA)

**Members Absent**

David Forderer (SA)

**Others Attending**

Aaron Carruthers  
Rihana Ahmad  
Lisa Plank (OAG)

**1. CALL TO ORDER**

Chairperson Jenny Yang (SA) called the meeting to order at 10:15 a.m.

**2. ESTABLISH QUORUM**

A quorum was established.

**3. WELCOME/INTRODUCTIONS**

Members and others introduced themselves as indicated.

**4. PUBLIC COMMENTS**

There were no public comments.

**5. APPROVAL OF THE JUNE 2017 MEETING MINUTES**

It was moved/seconded (Smith [FA]/Lewis [FA]) and carried to adopt the August 2017 meeting minutes as presented. (For: Lewis, Smith, Villados, Yang; Abstain: Nutt)

**6. SCDD BUDGET UPDATE**

Executive Director Carruthers presented the October 2017 budget to the Committee.

**7. ESTABLISH 2018 MEETING DATES**

The Committee established the following meeting dates for 2018:  
February 13<sup>th</sup>, April 19<sup>th</sup>, June 12<sup>th</sup>, August 14<sup>th</sup>, October 23<sup>rd</sup>.

---

**Legend:**

SA = Self-Advocate

FA = Family Advocate

8. **CLOSED SESSION - PERSONNEL**  
Entered into closed session at 10:45 a.m.

9. **RECONVENE OPEN SESSION**  
No reportable action taken



**DRAFT**  
**Membership Committee**  
**Meeting Minutes**  
**December 5, 2017**

**Attending Members**

April Lopez  
Sandra Smith  
David Forderer  
Charles Nutt

**Members Absent**

**Others Attending**

Robin Maitino  
Aaron Carruthers  
Gabriel Rogin  
David Grady  
Wayne Glusker  
Mary Ellen Stives  
Sarah May  
Melody Goodman  
Valerie Buell  
Christine Tolbert

**1. CALL TO ORDER**

Chairperson April Lopez (FA) called the meeting to order at 9:58 AM.

**2. ESTABLISH QUORUM**

A quorum was established.

**3. WELCOME/INTRODUCTIONS**

Members and others introduced themselves as indicated.

**4. PUBLIC COMMENTS**

None

**5. APPROVAL OF THE MARCH 6, 2017 MEETING MINUTES**

It was moved/seconded (Smith [FA]/Nutt [SA]) and carried to approve the March 6, 2017 meeting minutes as presented. (Unanimous)



## **6. DEMOGRAPHIC MAP**

Executive Director Aaron Carruthers went over a map showing the current demographic makeup of the Council.

## **7. APPOINTMENT AND VACANCIES TRACKING FORM**

Executive Director Carruthers presented the current Appointment and Vacancies Tracking Form to the Committee stating that with the resignation of Councilmember Lytton, the Council had one at-large vacancy. Additionally, Councilmember Weller was recently appointed to the Department of Rehabilitation board. Therefore, the Committee may want to consider filling her Council seat.

## **8. COUNCIL MEMBERSHIP AND EXPIRED TERMS**

Chief Deputy Director Gabriel Rogin presented a detail sheet to members listing existing and upcoming expired terms. The detail sheet outlined various options on how the Committee could address this.

Committee members opted to take no action on recommending appointments/reappointments for councilmembers whose second term has or will expire. Instead, the Committee will allow each individual councilmember to communicate their appointment/reappointment preference to the Governor's Office directly. Chair April Lopez will contact the affected members to convey the Committee's decision.

The discussion on first term reappointments was tabled pending the Committee's receipt of additional information on councilmember performance.

## **9. REVIEW OF COUNCIL APPLICATIONS**

Committee members reviewed applications 132, 173, 213, 214, 250, 302, 304, 305, 309, 310, and 312. Of those, staff was asked to find out answers to some clarifying questions the Committee had for applications 132, 213, 214, 250, 302, 304, 309, 310, 312. Depending on the information gathered, staff will schedule interviews for some of the applicants sometime in January 2018.

## **10. RAC ROSTER**

The current Regional Advisory Committee roster was provided on page 117 of the packet.

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### **Legend:**

SA = Self-Advocate

FA = Family Advocate

## 11. REVIEW RAC APPLICATIONS

The Committee reviewed applications 258 - North Coast; 268-Sacramento; 289-Sacramento; 300- Sacramento; 306- Bay Area; 247-Central Coast; 286- Central Coast; 293- Central Coast; 297- Orange County; and 295-San Bernardino. Following their review, the Committee took the below actions:

It was moved/seconded (Nutt [SA]/Forderer [SA]) and carried to re-appoint applicant number 258 to the North Coast Regional Advisory Committee. (For: Smith, Forderer, Nutt; Absent for vote: Lopez)

It was moved/seconded (Nutt [SA]/Forderer [SA]) and carried to appoint applicant number 238 to the Sacramento Regional Advisory Committee. (For: Smith, Forderer, Nutt; Absent for vote: Lopez)

It was moved/seconded (Nutt [SA]/Smith [FA]) and carried to re-appoint applicant number 289 to the Sacramento Regional Advisory Committee. (For: Smith, Forderer, Nutt; Absent for vote: Lopez)

It was moved/seconded (Forderer [SA]/Nutt [SA]) and carried to appoint applicant number 306 to the Bay Area Regional Advisory Committee. (For: Smith, Forderer, Nutt; Absent for vote: Lopez)

It was moved/seconded (Nutt [SA]/Smith [FA]) and carried to appoint applicant number 286 to the Central Coast Regional Advisory Committee. (For: Smith, Forderer, Nutt; Absent for vote: Lopez)

It was moved/seconded (Nutt [SA]/Smith [FA]) and carried to appoint applicant number 293 to the Central Coast Regional Advisory Committee. (For: Smith, Forderer, Nutt; Absent for vote: Lopez)

It was moved/seconded (Forderer [SA]/Nutt [SA]) and carried to appoint applicant number 297 to the Orange County Regional Advisory Committee. (For: Smith, Forderer, Nutt; Absent for vote: Lopez)

It was moved/seconded (Nutt [SA]/Forderer [SA]) and carried to appoint applicant number 295 to the San Bernardino Regional Advisory Committee. (For: Smith, Forderer, Nutt; Absent for vote: Lopez)

**12. REVIEW LOCAL SELF-DETERMINATION ADVISORY COMMITTEE APPLICATIONS (SDAC)**

Chair Lopez requested that staff do statewide outreach and table local SDAC appointments until January 2018. Council Regional Office staff requested that local SDAC applications that have been pending for several months be considered.

The Committee acted to fill two vacancies, one in the North Coast and one in the San Diego/Imperial catchment areas. Regional centers that fell in the Council's Central Coast, Los Angeles, Orange County, and San Bernardino office catchment areas were tabled pending outreach.

It was moved/seconded (Nutt [SA]/Forderer [SA]) and carried to appoint applicant number 8 to the Redwood Coast Regional Center local SDAC.  
(For: Smith, Forderer, Nutt; Absent for vote: Lopez)

It was moved/seconded (Forderer [SA]/Nutt [SA]) and carried to appoint applicant number 7 to the San Diego Regional Center local SDAC. (For: Smith, Forderer, Nutt; Absent for vote: Lopez)

**13. ADJOURNMENT**

Meeting at adjourned at 1:45 PM.



**DRAFT**  
**State Plan Committee**  
**Meeting Minutes**  
**December 12, 2017**

**Attending Members**

Sandra Smith  
Rebecca Donabed  
Robin Hansen  
Sandra Aldana  
Janelle Lewis

**Members Absent**

Carmela Garnica

**Others Attending**

Robin Maitino  
Aaron Carruthers  
Vicki Smith  
Kristie Allensworth

**1. CALL TO ORDER**

Chairperson Sandra Smith (FA) called the meeting to order at 10:08 AM.

**2. ESTABLISH QUORUM**

A quorum was established.

**3. WELCOME/INTRODUCTIONS**

Members and others introduced themselves as indicated.

**4. PUBLIC COMMENTS**

None.

**5. APPROVAL OF THE JULY 2017 MEETING MINUTES**

It was moved/seconded (Lewis [FA]/Hansen) and carried to approve the July 10, 2017 meeting minutes as presented. (For: Smith, Donabed, Hansen, Lewis; Abstain: Aldana)

**6. CYCLE 41 GRANTS**

**a. Regional vs. Statewide Grants/1-year vs. 2-year grants**

Committee members discussed the pros and cons of allocating the Cycle 41 Grant to be at the Regional or Statewide level as well as whether the grant cycle should remain at 1-year cycle or be changed to a 2-year grant cycle. Following an in-depth discussion, the Committee acted to keep the grant cycle at a 1-year cycle and be given at the Regional level.

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Legend:  
SA = Self-Advocate  
FA = Family Advocate

Page 1

It was moved/seconded (Hansen/Lewis [FA]) and carried that the Cycle 41 Grant would be awarded at the regional level for the period of 1-year with the focus to be on any of the 6 goals within the State Plan. (Unanimous by all in attendance)

b. Identify focus area(s)

Following Committee discussion, members took the above action to allow applicants to focus on any of the 6 goals in the State Plan.

c. Adopt proposed timeline

Committee members reviewed the timeline on page 11 of the packet and requested that staff hold a pre-bidders webinar in order to provide support to applicants if needed.

It was moved/seconded (Hansen/Lewis [FA]) and carried to approve the timeline with administrative corrections and the addition of a pre-bidders webinar, which will be archived on the SCDD website by February 9, 2018. (Unanimous by all in attendance)

d. Recommendation on adoption of proposed Scoring Criteria

The Committee reviewed the scoring criteria and made that following changes:

Page 13 of the packet, under paragraph two of the Methodology heading ("The target audience..."); change the points from 0-7 to 0-6.

Page 13 of the packet, under paragraph five of the Methodology heading ("The proposal describes a sound programmatic procedure..."); change the points from 0-8 to 0-7. Also to change from quarterly reporting to bi-monthly reporting.

Page 14 of the packet, change the Administration heading to read "Administration/Budget," combining the previous "Administration" and "New and Innovative" sections together.

Page 14 of the packet, under paragraph two of Administration/Budget heading ("The applicant has demonstrated experience..."); change the points from 0-9 to 0-10.

of the Methodology heading ("The proposal describes a sound programmatic procedure..."; change the points from 0-8 to 0-7.

Page 14 of the packet, under paragraph three of Administration/Budget heading ("The proposal supports/promotes new and/or innovative approaches..."); change the points from 0-9 to 0-10.

It was moved/seconded (Lewis [FA]/Hansen) and carried to recommend approval of the Cycle 41 Grant Scoring Criteria as amended above. (Unanimous by all in attendance)

- e. Recommendation on adoption of proposed RFP  
The Committee reviewed that draft Program Development Grant, Request for Proposal and made minor administrative changes to the document, making it in line with the actions taken above as well as ensuring consistency throughout.

It was moved/seconded (Lewis [FA]/Hansen) and carried to recommend approval of the proposed Cycle 41 Request for Proposal as amended, based on the Administrative Committee's approval of available funds. (For: Smith, Donabed, Hansen, Lewis; Abstain: Aldana)

- 7. **OVERVIEW OF THE DRAFT PROGRAM PERFORMANCE REPORT**  
Deputy Director Vicki Smith presented the draft overview of the 2016/17 Program Performance Report (PPR) to Committee members. In total, SCDD reached more than 2.5 million people. The Committee reviewed the information contained within the draft and acted to recommend approval of the report.

It was moved/seconded (Lewis [FA]/Smith [FA]) and carried to recommend approval of the 2016/17 draft Program Performance Report. (Unanimous by all in attendance)

- 8. **ESTABLISH NEXT MEETING DATE**  
The next meeting will be held on April 10<sup>th</sup> or 16<sup>th</sup> 2018.

- 9. **ADJOURNMENT**  
Meeting at adjourned at 1:27 PM.





